IAPD Report

CHRISTOPHER WILLIAM INGLIS

CRD# 1040321

Section Title | **Page(s)**

When communicating online or investing with any professional, make sure you know who you're dealing with. Imposters might link to sites like BrokerCheck from phishing or similar scam websites, or through social media, trying to steal your personal information or your money.

Please contact FINRA with any concerns.

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

CHRISTOPHER WILLIAM INGLIS (CRD# 1040321)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **07/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	05/25/2023
IA	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	05/25/2023

QUALIFICATIONS

This representative is currently registered in **11** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	UBS FINANCIAL SERVICES INC.	8174	SAN MATEO, CA	11/02/2007 - 06/05/2023
IA	UBS FINANCIAL SERVICES INC.	8174	SAN MATEO, CA	11/02/2007 - 06/05/2023
IA	A. G. EDWARDS & SONS, INC.	4	REDWOOD SHORES, CA	12/10/2001 - 11/08/2007

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **2** jurisdiction(s) and 11 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **STIFEL, NICOLAUS & COMPANY, INCORPORATED**

Main Address: 501 N BROADWAY
ST LOUIS, MO 63102

Firm ID#: 793

	Regulator	Registration	Status	Date
B	Cboe BZX Exchange, Inc.	General Securities Representative	Approved	05/25/2023
B	Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/15/2026
B	Cboe EDGA Exchange, Inc.	General Securities Sales Supervisor	Approved	06/15/2026
B	Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/15/2026
B	Cboe EDGX Exchange, Inc.	General Securities Sales Supervisor	Approved	06/15/2026
B	FINRA	General Securities Representative	Approved	05/25/2023
B	FINRA	General Securities Sales Supervisor	Approved	05/25/2023
B	Investors' Exchange LLC	General Securities Representative	Approved	06/15/2026
B	NYSE American LLC	General Securities Representative	Approved	05/25/2023
B	NYSE American LLC	General Securities Sales Supervisor	Approved	05/25/2023
B	NYSE American LLC	Securities Manager	Approved	05/25/2023
B	NYSE Texas, Inc.	General Securities Representative	Approved	06/15/2026
B	NYSE Texas, Inc.	General Securities Sales Supervisor	Approved	06/15/2026

Qualifications

	Regulator	Registration	Status	Date
B	Nasdaq ISE, LLC	General Securities Representative	Approved	06/15/2026
B	Nasdaq ISE, LLC	General Securities Sales Supervisor	Approved	06/15/2026
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/25/2023
B	Nasdaq PHLX LLC	General Securities Sales Supervisor	Approved	05/25/2023
B	Nasdaq Stock Market	General Securities Representative	Approved	05/25/2023
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/25/2023
B	New York Stock Exchange	General Securities Representative	Approved	05/25/2023
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	05/25/2023
B	New York Stock Exchange	Securities Manager	Approved	05/25/2023
B	California	Agent	Approved	05/25/2023
IA	California	Investment Adviser Representative	Approved	05/25/2023
B	Colorado	Agent	Approved	07/07/2026

Branch Office Locations

STIFEL, NICOLAUS & COMPANY, INCORPORATED
ONE MONTGOMERY STREET
SUITES 3300, 3500, 3600, & 3700
SAN FRANCISCO, CA 94104

STIFEL, NICOLAUS & COMPANY, INCORPORATED
Clearlake, CA

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 3 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	12/05/2001
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	12/04/2001
B	General Securities Principal Examination (S24)	Series 24	07/16/1992

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	07/18/2008
B	General Securities Representative Examination (S7)	Series 7	10/16/1982

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	02/08/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1995

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	11/02/2007 - 06/05/2023	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN MATEO, CA
IA	11/02/2007 - 06/05/2023	UBS FINANCIAL SERVICES INC.	CRD# 8174	SAN MATEO, CA
IA	12/10/2001 - 11/08/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	REDWOOD SHORES, C.
B	11/29/2001 - 11/08/2007	A. G. EDWARDS & SONS, INC.	CRD# 4	REDWOOD SHORES, C.
B	03/30/1992 - 11/30/2001	ACUMENT SECURITIES, INC.	CRD# 7661	SAN FRANCISCO, CA
B	04/16/1987 - 10/12/1990	FIRST CALIFORNIA CAPITAL MARKETS GROUP, INC.	CRD# 16116	
B	08/18/1986 - 02/02/1988	MUNICICORP OF CALIFORNIA	CRD# 7184	
B	06/27/1984 - 08/25/1986	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	10/25/1982 - 06/22/1984	MUNICICORP OF CALIFORNIA	CRD# 7184	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
05/2023 - Present	STIFEL, NICOLAUS & COMPANY, INCORPORATED	Vice President - Investments	Y	San Francisco, CA, United States
11/2013 - 05/2023	UBS FINANCIAL SERVICES INC	FINANCIAL ADVISOR	Y	SAN MATEO, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

1. City of Clearlake, CA, Planning Commission; 14050 Olympic Dr, Clearlake, CA 95422; Planning Commission for the city where I reside; Planning Commissioner; Serving the city by overseeing the planning dept.; 04/10/2023; 6 Hours per Month; Not during securities trading hours; Not Investment-Related.
2. Rental Property; 3902 Oak Dr, Clearlake, CA 95422; Owner; 05/25/2023; 8 Hours per Month; Not during securities trading hours; Investment-Related.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

3. Rotary Club of Clear Lake; 14732 Lakeshore Dr Clearlake CA 95422; Business and Civic service group; Board member; I show up on the weekend to work with disadvantaged folks, and I have been asked to be a board member, and treasurer; 01/24/2025; 10 hrs/month; Not during securities trading hours; Not Investment-Related.
4. Rotary Club of Clear Lake; 14732 Lakeshore Dr Clearlake CA 95422; Service Club; Treasurer; Keeping the treasury, making disbursements; 12/31/2024; 3 hrs/month; Not during securities trading hours; Not Investment-Related

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Customer Dispute	2

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLAIMANT ALLEGES THAT THE FINANCIAL ADVISOR MADE AN UNAUTHORIZED SALE OF 350 SHARES OF IBM COMMON STOCK ON OCTOBER 20, 2010. DUE TO THE MISUNDERSTANDING, UBS OFFERED TO REVERSE THE SALE ON NOVEMBER 5, 2010. IN RESPONSE TO UBS'S OFFER, CLAIMANT MADE THE EXPRESS DETERMINATION TO ALLOW THE TRADE TO STAND. CLAIMANT NOW SUES FOR DAMAGES CAUSED BY THIS SALE. TIME FRAME 10/20/2010
Product Type:	Other: EQUITIES
Alleged Damages:	$75,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/21/2011
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	10/18/2011

Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	11-04578
Date Notice/Process Served:	12/22/2011
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	11/07/2013
Monetary Compensation Amount:	$50,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Beneficial client's trustee gave us a list of sales to perform. This was one item. At the end of the meeting, the trustee who was also the client's accountant asked us to hold off selling the IBM until January for tax purposes. It was inadvertently entered with the other sell orders. When the mistake was noticed, we contacted the client to offer to cancel and correct the trade. They declined. It was only months later that they submitted a complaint.

Disclosure 2 of 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC.
Allegations:	ALLEGED UNSUITABLE INVESTMENTS, NEGLIGENCE, CHANGED INVESTMENT OBJECTIVE WITHOUT AUTHORIZATION. (MAY, 2006)
Product Type:	Equity-OTC
Alleged Damages:	$37,170.51
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/16/2007
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/18/2012
Settlement Amount:	
Individual Contribution	

Amount:

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	A.G. EDWARDS & SONS, INC
Allegations:	ALLEGES UNSUITABLE INVESTMENTS, NEGLIGENCE, CHANGED INVESTMENT OBJECTIVE WITHOUT AUTHORIZATION. (MAY,2006)
Product Type:	Equity-OTC
Alleged Damages:	$37,170.51
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	11/16/2007
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	05/18/2012
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00
Broker Statement	Client was a personal friend of my partner. She was under our joint production number. When she mentioned her dissatisfaction, I had to report it as a complaint as Branch Manager. Nothing further came of it.

End of Report

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