IAPD Report

CHRISTINE LYNN HAGEN

CRD# 1059139

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

CHRISTINE LYNN HAGEN (CRD# 1059139)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	09/08/2009
IA	PRIVATE ADVISOR GROUP, LLC	CRD# 155216	08/04/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **12** 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
IA	AK FINANCIAL GROUP	130338	IRVINE, CA	07/07/2015 - 12/22/2022
IA	LPL FINANCIAL LLC	6413	IRVINE, CA	09/08/2009 - 04/22/2016
IA	MUTUAL SERVICE CORPORATION	4806	IRVINE, CA	08/04/2003 - 09/08/2009

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
Regulatory Event	1

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 **12** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Address: 1055 LPL WAY
FORT MILL, SC 29715

Firm ID#: 6413

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	09/08/2009
B	FINRA	General Securities Representative	Approved	09/08/2009
B	Arizona	Agent	Approved	09/08/2009
B	California	Agent	Approved	09/08/2009
B	Colorado	Agent	Approved	09/08/2009
B	Florida	Agent	Approved	11/06/2012
B	Hawaii	Agent	Approved	09/08/2009
B	Nevada	Agent	Approved	03/04/2019
B	Pennsylvania	Agent	Approved	09/08/2009
B	South Carolina	Agent	Approved	10/03/2014
B	Tennessee	Agent	Approved	04/14/2023
B	Texas	Agent	Approved	09/08/2009
B	Virginia	Agent	Approved	09/08/2009

Qualifications

	Regulator	Registration	Status	Date
B	Washington	Agent	Approved	09/08/2009

Branch Office Locations

LPL FINANCIAL LLC
LA QUINTA, CA

LPL FINANCIAL LLC
6 VENTURE, STE 390
IRVINE, CA 92618

Employment 2 of 2

Firm Name: **PRIVATE ADVISOR GROUP, LLC**

Main Address: 305 MADISON AVENUE
MORRISTOWN, NJ 07960

Firm ID#: 155216

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	08/04/2022

Branch Office Locations

PRIVATE ADVISOR GROUP, LLC
6 Venture, Suite 390
Irvine, CA 92618

PRIVATE ADVISOR GROUP, LLC
La Quinta, 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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	08/25/1995

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	09/17/1983

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/06/1991

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
IA	07/07/2015 - 12/22/2022	AK FINANCIAL GROUP	CRD# 130338	IRVINE, CA
IA	09/08/2009 - 04/22/2016	LPL FINANCIAL LLC	CRD# 6413	IRVINE, CA
IA	08/04/2003 - 09/08/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	IRVINE, CA
B	07/31/2003 - 09/08/2009	MUTUAL SERVICE CORPORATION	CRD# 4806	IRVINE, CA
IA	08/24/1999 - 08/01/2003	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	IRVINE, CA
B	07/11/1999 - 08/01/2003	NATIONAL PLANNING CORPORATION	CRD# 29604	LOS ANGELES, CA
B	08/26/1994 - 06/28/1999	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	04/13/1984 - 08/17/1994	TITAN/VALUE EQUITIES GROUP, INC.	CRD# 6359	IRVINE, CA
B	09/22/1983 - 10/25/1983	PRIVATE LEDGER FINANCIAL SERVICES, INCORPORATED	CRD# 6413	

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
07/2022 - Present	Private Advisor Group, LLC	Investment Advisor Representative	Y	Morristown, NJ, United States
06/2015 - Present	AK FINANCIAL GROUP	INVESTMENT ADVISER REPRESENTATIVE	Y	IRVINE, CA, United States
09/2009 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	IRVINE, CA, United States

Registration & Employment History

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) 10/28/2009: CHRIS HAGEN, MS, CFP - TAX PREP / ACCOUNTING / BOOKKEEPING - 15% OF TIME SPENT - PREPARATION OF INCOME TAX RETURNS FOR A LARGE PORTION OF MY CLIENTS. ALSO MAY INVOLVE TAX CONSULTATIONS.

(2) 10/28/2009: CHRIS HAGEN, MS, CFP - INV REL - AT REPORTED BUSINESS LOCATION(S) - NON-VARIABLE INSURANCE - 20% OF TIME SPENT - SALES. INS TYPES: LIFE, DISABILITY, LONG-TERM CARE, FIXED ANNUITIES

(3) 05/26/2015: AK FINANCIAL GROUP - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - INV REL - AT REPORTED BUSINESS LOCATION(S) - START 06/01/2015 - 100 HR/MO 75 DURING SECS TRDG HRS

(5) 07/21/2015 - UNDER S.J. SCOTT CONSTRUCTION, INC - INV REL - 81684 IMPALA DRIVE, LA QUINTA, CA 92253 - OTHER - NON-BUSINESS - START 07/13/2015 - 0 HOUR PER MONTH - I HAVE BEEN NAMED AS AN 100% BENEFICIARY ON MY BOYFRIEND'S PLAN

(6) 08/23/2022 - AK Financial Group - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 11/01/2022 - 130 Hours Per Month/60 Hours During Securities Trading.

(7) 08/23/2022 - Private Advisor Group - DBA: AK Financial Group - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - IAR - Start Date - 11/01/2022 - 70 Hours Per Month/70 Hours During Securities Trading.

(8) 08/23/2022 - Private Advisor Group, LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date - 11/01/2022 - 70 Hours Per Month/70 Hours During Securities Trading - I provide investment advisory services through Private Advisor Group, an independent investment advisor firm. I started this business activity in 11/2022. I expect to spend approximately 70 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at http://www.adviserinfo.sec.gov/IAPD. The firm is separate from and independent of LPL Financial.

(9) 08/01/2024 - Other - Artist - painter - Not Investment Related - Home Based - Start Date 09/01/2024 - 24 Hours per Month/ 0 Hours During Trading

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
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	CALIFORNIA
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	01/29/1988
Docket/Case Number:	
Employing firm when activity occurred which led to the regulatory action:	PROFESSIONAL FINANCIAL CONSULTANTS
Product Type:	No Product
Other Product Type(s):	
Allegations:	RESPONDENT CHRISTINE L. HAGEN AND OTHERS HAVE BEEN REPRESENTING THEMSELVES AS INVESTMENT ADVISERS WITHOUT FIRST OBTAINING NECESSARY CERTIFICATE FROM CALIFORNIA COMMISSIONER OF CORPORATIONS IN VIOLATION OF CALIFORNIA CORPORATE SECURITIES LAW OF 1968 (CORP. CODE SECTION 25230).
Current Status:	Final
Resolution:	Decision
Resolution Date:	01/29/1988
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	

Sanction Details:	A CEASE AND DESIST ORDER WAS ISSUED.

Reporting Source:	Individual
Regulatory Action Initiated By:	CALIFORNIA DEPT OF CORPORATIONS
Sanction(s) Sought:	Cease and Desist
Other Sanction(s) Sought:	
Date Initiated:	01/29/1988
Docket/Case Number:	FILE NO 923 1293
Employing firm when activity occurred which led to the regulatory action:	PROFESSIONAL FINANCIAL CONSULTANTS
Product Type:	No Product
Other Product Type(s):	
Allegations:	THE CALIFORNIA DEPARTMENT OF CORPORATIONS ISSUED A DESIST AND REFRAIN ORDER AGAINST PROFESSIONAL FINANCIAL CONSULTANTS, MANUEL GONZALES, ANDREW STONE AND CHRISTINE HAGEN TO REFRAIN FROM ACTING AS AN INVESTMENT ADVISOR UNTIL PROPERLY LICENSED BY THE STATE
Current Status:	Final
Resolution:	Order
Resolution Date:	01/29/1988
Sanctions Ordered:	Cease and Desist/Injunction
Other Sanctions Ordered:	ORDER ISSUED CEASE AND DISIST
Sanction Details:	ORDER ISSUED CEASE AND DESIST
Broker Statement	THIS CEASE AND DESIST ORDER REFERRED TO THE RIA REGISTRATION OF THE CORPORATION AND WAS ISSUED BY THE DOC BECAUSE MANUEL GONZALES DID NOT OBTAIN HIS SERIES 7 LICENSE WHICH IS A REQUIREMENT (FOR ALL PRINCIPALS) IN ORDER FOR HTE CORPORATION TO ACT AS AN RIA. UPON RECEIPT OF THE CEASE AND DESIST ORDER, (AND ACTUALLY SOMETIME PRIOR TO) EACH OF US INDIVIDUALLY SUBMITTED PAPERWORK TO TITAN CAPITAL CORP (AKA, TITAN VALUE EQUITIES GROUP) TO BECOME AFFILIATED INDIVIDUALLY AS ASSOCIATED INVESTMENT ADVISORS UNDER THEIR REGISTERED INVESTMENT ADVISOR UMBRELLA. IN MARCH 1993, THE CALIFORNIA DEPARTMENT OF CORPORATIONS REVISITED TEH 1/29/88 CEASE AND DESIST ORDER. CHRIS HAGEN AND ANDY STONE WERE REQUESTED TO APPEAR AS WITNESSES FOR THE CORPORATION IN THE INFORMAL INQUIRY CONDUCTED BY THE DOC. SINCE THIS TIME, NOR FURTHER ACTION HAS BEEN TAKEN, AND THERE HAVE BEEN NO FURTHER INQUIRIES.

End of Report

This page is intentionally left blank.

