



## IAPD Report

# CHRISTOPHER JOHN SWANSON

CRD# 1233703

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	5 - 6
Disclosure Information	7



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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 JOHN SWANSON (CRD# 1233703)

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 **12/01/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	COMPASS FINANCIAL ADVISORS LLC	CRD# 109131	10/11/2012

### QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	AUSDAL FINANCIAL PARTNERS, INC.	7995	Fort Wayne, IN	01/04/2021 - 12/01/2025
B	HARBOUR INVESTMENTS, INC.	19258	Fort Wayne, IN	05/20/2016 - 12/31/2020
B	SECURITIES AMERICA, INC.	10205	FORT WAYNE, IN	07/16/2015 - 05/25/2016

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
Criminal	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

#### Employment 1 of 1

Firm Name: **COMPASS FINANCIAL ADVISORS LLC**

Main Address: 9933 DUPONT CIRCLE DRIVE WEST  
SUITE 100  
FORT WAYNE, IN 46825

Firm ID#: 109131

Regulator	Registration	Status	Date
IA Indiana	Investment Adviser Representative	Approved	10/11/2012

#### Branch Office Locations

##### **COMPASS FINANCIAL ADVISORS LLC**

9933 DUPONT CIRCLE DRIVE WEST  
SUITE 100  
FORT WAYNE, IN 46825



## 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 4 principal/supervisory exams, 5 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
 Registered Options Principal Examination (S4)	Series 4	05/29/2003
 Municipal Securities Principal Examination (S53)	Series 53	04/18/2003
 Introducing Broker/Dealer Financial Operations Principal Examination (S28)	Series 28	01/21/2003
 General Securities Principal Examination (S24)	Series 24	09/27/1991

#### General Industry/Product Exams

Exam	Category	Date
 Municipal Securities Representative Examination (S52TO)	Series 52TO	01/02/2023
 Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 National Commodity Futures Examination (S3)	Series 3	09/03/1985
 General Securities Representative Examination (S7)	Series 7	03/17/1984

#### State Securities Law Exams

Exam	Category	Date
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/30/1984



## PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## 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	01/04/2021 - 12/01/2025	AUSDAL FINANCIAL PARTNERS, INC.	CRD# 7995	Fort Wayne, IN
B	05/20/2016 - 12/31/2020	HARBOUR INVESTMENTS, INC.	CRD# 19258	Fort Wayne, IN
B	07/16/2015 - 05/25/2016	SECURITIES AMERICA, INC.	CRD# 10205	FORT WAYNE, IN
B	10/09/2012 - 07/22/2015	FINTEGRA, LLC	CRD# 16741	FORT WAYNE, IN
IA	12/08/1998 - 12/03/2012	GREGORY ZENT & SWANSON, INC.	CRD# 22590	FORT WAYNE, IN
B	03/29/1990 - 11/28/2012	GREGORY, ZENT & SWANSON INC.	CRD# 22590	FORT WAYNE, IN
B	04/01/1984 - 03/08/1990	RONEY & CO.	CRD# 900	DETROIT, MI

### 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
01/2021 - Present	AUSDAL FINANCIAL PARTNERS, INC	REGISTERED REPRESENTATIVE	Y	DAVENPORT, IA, United States
10/2012 - Present	COMPASS FINANCIAL ADVISORS, LLC	INVESTMENT ADVISOR REPRESENTATIVE	Y	FT. WAYNE, IN, United States
12/2005 - Present	SIMPLE AUTO	PRESIDENT	N	PETOSKEY, MI, United States
05/2016 - 12/2020	Harbour Investments, Inc	Reg Rep	Y	Madison, WI, United States
07/2015 - 05/2016	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	FORT WAYNE, IN, 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) COMPASS FINANCIAL ADVISORS, LLC; INVESTMENT RELATED; FORT WAYNE, IN; RIA; IAR; ACTIVITY BEGAN 10/2012; I DEVOTE 80 HOURS PER MONTH TO THIS ACTIVITY ALL DURING TRADING HOURS; ASSIST CLIENTS WITH FINANCIAL GOALS.
- 2) INSURANCE SALES; INVESTMENT RELATED; FORT WAYNE, IN; INSURANCE SALES; AGENT; ACTIVITY BEGAN IN 1983 I DEVOTE LESS THAN ONE HOUR PER MONTH TO THIS ACTIVITY; SALE OF INSURANCE PRODUCTS.
- 3) SIMPLE AUTO SIMPLE CREDIT; NON INVESTMENT RELATED; PETOSKEY, MI; USED CAR CREDIT; PRESIDENT; ACTIVITY BEGAN 12/2005; I DEVOTE APXX 80 HOURS PER MONTH TO THIS ACTIVITY WITH 40 OF THOSE HOURS DURING TRADING HOURS; MANAGERIAL DUTIES.



## 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
Criminal	1
<b>Criminal</b>	
This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).	
<b>Disclosure 1 of 1</b>	
<b>Reporting Source:</b>	Individual
<b>Court Details:</b>	STATE OF INDIANA/MISDEMEANOR DIVISION #CRM-77-8140
<b>Charge Date:</b>	06/09/1977
<b>Charge Details:</b>	ON OR ABOUT APRIL 24, 1977, CHRISTOPHER SWANSON KNOWINGLY AND FELONIOUSLY OBTAINED AND EXERTED CONTROL OVER PROPERTY OF NORFOLK AND WESTERN RAILWAY COMPANY, TO WIT: SIXTY (60) CASES OF MILLER'S HIGH LIFE BOTTLE BEER.
<b>Felony?</b>	
<b>Current Status:</b>	Final
<b>Status Date:</b>	06/14/1978
<b>Disposition Details:</b>	NO JUDGEMENT AGAINST ME.
<b>Broker Statement</b>	AT THE TIME OF THE REPORTED INCIDENT, I WAS NOT YET THREE MONTHS INTO MY EIGHTEENTH YEAR AND AS HAPPENS TO MOST HIGH SCHOOLERS AT ONE TIME OR ANOTHER, I WAS "FEELING MY OATS." I REALIZED THEN AND NOW THAT THE ACT WAS A SERIOUS MATTER AND INDEED AT THAT TIME I DID NOT DISPLAY MATURE JUDGMENT. THIS WAS ROWDY AND IMMATURE HIGH SCHOOL PRANK.



## End of Report

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