



IAPD Report

CHRIS LAMONT MEACHAM

CRD# 1366969

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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

CHRIS LAMONT MEACHAM (CRD# 1366969)

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 **10/28/2020**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	VIVALDI CAPITAL MANAGEMENT LP	CRD# 160150	10/22/2020

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
IA	CORNERSTONE WEALTH MANAGEMENT	108404	SAN DIEGO, CA	09/23/1999 - 10/28/2020
B	KEYSTONE CAPITAL CORPORATION	10722	NEW YORK, NY	10/10/2007 - 12/31/2007
B	CAPSTONE INVESTMENTS	41400	SAN DIEGO, CA	01/02/2003 - 06/27/2005

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
Customer Dispute	5



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: **VIVALDI CAPITAL MANAGEMENT LP**

Main Address: 225 WEST WACKER
SUITE 2100
CHICAGO, IL 60606

Firm ID#: 160150

	Regulator	Registration	Status	Date
	California	Investment Adviser Representative	Approved	10/22/2020

Branch Office Locations

VIVALDI CAPITAL MANAGEMENT LP
16935 W BERNARDO DRIVE, SUITE 260
SAN DIEGO, CA 92127





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 2 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	Financial and Operations Principal Examination (S27)	Series 27	02/13/1998
	General Securities Principal Examination (S24)	Series 24	05/09/1997

General Industry/Product Exams

	Exam	Category	Date
	National Commodity Futures Examination (S3)	Series 3	01/14/1999
	General Securities Representative Examination (S7)	Series 7	05/18/1985

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	02/24/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/30/1985

PROFESSIONAL DESIGNATIONS

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

Personal Financial Specialist

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	09/23/1999 - 10/28/2020	CORNERSTONE WEALTH MANAGEMENT	CRD# 108404	SAN DIEGO, CA
B	10/10/2007 - 12/31/2007	KEYSTONE CAPITAL CORPORATION	CRD# 10722	NEW YORK, NY
B	01/02/2003 - 06/27/2005	CAPSTONE INVESTMENTS	CRD# 41400	SAN DIEGO, CA
B	12/23/1999 - 09/19/2002	WARNER BECK INCORPORATED	CRD# 11076	SAN DIEGO, CA
B	12/16/1988 - 09/03/1999	DUNHAM AND ASSOCIATES INVESTMENT COUNSEL, INC.	CRD# 13162	SAN DIEGO, CA
B	05/23/1985 - 11/25/1988	KAVANAUGH SECURITIES, INC.	CRD# 10606	

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
10/2020 - Present	VIVALDI CAPITAL MANAGEMENT, LLC	PARTNER, WEALTH ADVISOR	Y	SAN DIEGO, CA, United States
09/1999 - 09/2020	CORNERSTONE WEALTH MANAGEMENT, LLC	PRESIDENT-INVESTMENT ADVISER REPRESENTATIVE	Y	SAN DIEGO, 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.

No information reported.



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
Customer Dispute	5

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:	NASD
Sanction(s) Sought:	
Date Initiated:	01/19/2006
Docket/Case Number:	2005001709501
Employing firm when activity occurred which led to the regulatory action:	CAPSTONE INVESTMENTS
Product Type:	No Product
Allegations:	ARTICLE V, SECTION 2(C) OF NASD BY-LAWS AND NASD RULES 2110, IM-1000-1 - RESPONDENT FAILED TO PROMPTLY AMEND HIS UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U4) TO DISCLOSE MATERIAL INFORMATION.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	01/19/2006



Sanctions Ordered: Civil and Administrative Penalty(ies)/Fine(s)
Suspension

Regulator Statement WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, MEACHAM CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS, THEREFORE HE IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS AND FINED \$5,000. THE FINE SHALL BE DUE AND PAYABLE EITHER PRIOR TO REASSOCIATION WITH A MEMBER FIRM FOLLOWING THE SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. SUSPENSION EFFECTIVE MARCH 6, 2006, TO MARCH 17, 2006. FINE PAID 07/10/2007.

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Date Initiated: 01/19/2006

Docket/Case Number: 20050017095-01

Employing firm when activity occurred which led to the regulatory action: CAPSTONE INVESTMENTS

Product Type: No Product

Allegations: ARTICLE V, SECTION 2(C) OF NASD BY-LAWS AND NASD RULES 2110, IM-1000-1 - RESPONDENT FAILED TO PROMPTLY AMEND HIS UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U4) TO DISCLOSE MATERIAL INFORMATION.

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 01/19/2006

Sanctions Ordered: Suspension

Sanction 1 of 1

Sanction Type: Suspension

Capacities Affected: ALL CAPACITIES

Duration: 10 BUSINESS DAYS

Start Date: 03/06/2006

End Date: 03/17/2006

Broker Statement THIS ACCEPTANCE, WAIVER & CONSENT ACTION WAS DUE TO THE FACT THAT I HAD INADVERTENTLY NOT REPORTED TO THE BROKER-DEALER



FIRM THAT HELD MY SECURITIES LICENSES AT THAT TIME CERTAIN ADVISORY CLIENT COMPLAINTS RECEIVED IN 2002. WHILE I HAD PROMPTLY REPORTED THE COMPLAINTS TO THE COMPLIANCE PERSONNEL AT CORNERSTONE WEALTH MANAGEMENT, MY INVESTMENT ADVISORY FIRM, AND WE IN TURN FOLLOWED ALL THE REPORTING REQUIREMENTS MANDATED BY THE SEC, I WAS UNAWARE AT THAT TIME THAT I ALSO NEEDED TO REPORT THEM TO THE BROKER-DEALER FIRM. OTHER THAN HANGING MY LICENSE WITH THE BROKER-DEALER FIRM, I WAS NOT DOING ANY BUSINESS WITH THE BROKER-DEALER FIRM. IN 2006, CORNERSTONE HIRED A COMPLIANCE CONSULTING FIRM TO CONDUCT A COMPLIANCE AUDIT. DURING THE AUDIT, I WAS INFORMED OF THE FINRA REGULATIONS THAT REQUIRE REPORTING TO BROKER-DEALERS, SO I PROMPTLY REPORTED THE COMPLAINTS TO BOTH THE BROKER-DEALER FIRM AND FINRA. WHILE "BEING UNAWARE OF THE REGULATIONS" IS NOT AN EXCUSE, THE EXAMINER HANDLING THIS ACTION SAID THAT HE TOOK INTO CONSIDERATION THE VARIOUS MITIGATING CIRCUMSTANCES, INCLUDING: (1) THE FACT THAT I HAD VOLUNTARILY REPORTED THIS ISSUE PROMPTLY UPON LEARNING OF THE FINRA REQUIREMENTS; (2) THAT THERE WAS NO INTENT TO HARM ANY CLIENTS OR HIDE INFORMATION; AND (3) THAT I HAD FOLLOWED ALL SEC REQUIREMENTS. THE SANCTIONS ISSUED BY THE EXAMINER WERE A REDUCED SUSPENSION TIME OF ONLY 10 DAYS (NORMAL SUSPENSION IS 30 DAYS) AND A WAIVED MONETARY FINE AS LONG AS I DO NOT RE-ACTIVATE MY SERIES 7 LICENSE WITH A BROKER-DEALER. I HAVE NOT BEEN AFFILIATED WITH A BROKER-DEALER SINCE 2007 AND MY SERIES 7 LICENSE HAS SINCE EXPIRED. I'VE BEEN WITH CORNERSTONE WEALTH MANAGEMENT SINCE 1999 PROVIDING INVESTMENT ADVICE TO CLIENTS. I TAKE MY FIDUCIARY RESPONSIBILITIES TO MY CLIENTS VERY SERIOUSLY AND CONSIDER THEIR BEST INTERESTS AT ALL TIMES.



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 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CORNERSTONE WEALTH MANAGEMENT, LLC

Allegations: IN JUNE 2015, A FINRA ARBITRATION PANEL RULED IN FAVOR OF A FORMER CLIENT AND AGAINST CORNERSTONE AND MR. MEACHAM IN CONNECTION WITH A DISPUTE ARISING OUT OF A REAL ESTATE PRIVATE PLACEMENT TRANSACTION IN WHICH THE CLIENT WAS ONE OF SEVERAL INVESTORS. OVER THE STRONG OPPOSITION OF ADVISER, THE ARBITRATION PANEL AWARDED THE CLIENT COMPENSATORY AND EXEMPLARY DAMAGES. THE ADVISER AND MR. MEACHAM VEHEMENTLY DISAGREE WITH THE DECISION ON THE MERITS OF THE DISPUTE AND THE ASSOCIATED AWARD HANDED DOWN BY THE ARBITRATION PANEL. MORE INFORMATION IS AVAILABLE UPON REQUEST.

Product Type: Other: PRIVATE SECURITIES TRANSACTION

Alleged Damages: \$86,500.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [14-00323](#)

Date Notice/Process Served: 01/29/2014

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 06/09/2015

Monetary Compensation Amount: \$176,750.00

Individual Contribution Amount: \$176,750.00

Disclosure 2 of 5

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: CORNERSTONE WEALTH MANAGEMENT, LLC

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENT PRODUCTS WERE PURCHASED INTO THE CLIENT ACCOUNT. SPECIFICALLY, THE CLIENT ALLEGES THAT TRUST DEED INVESTMENTS ADVOCATED BY MR.



MEACHAM CARRIED FAR MORE RISK THAN WAS DISCLOSED.

Product Type: Other
Other Product Type(s): TRUST DEED
Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 07/01/2002
Complaint Pending? No
Status: Settled
Status Date: 10/27/2003
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$25,000.00

Disclosure 3 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CORNERSTONE WEALTH MANAGEMENT, LLC

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENT PRODUCTS WERE PURCHASED INTO THE CLIENT ACCOUNT. SPECIFICALLY, THE CLIENT ALLEGES THAT TRUST DEED INVESTMENTS ADVOCATED BY MR. MEACHAM CARRIED FAR MORE RISK THAN WAS DISCLOSED.

Product Type: Other
Other Product Type(s): TRUST DEED
Alleged Damages: \$25,000.00

Customer Complaint Information

Date Complaint Received: 07/01/2002
Complaint Pending? No
Status: Settled
Status Date: 01/28/2004
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$25,000.00

Disclosure 4 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CORNERSTONE WEALTH MANAGEMENT, LLC

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENT PRODUCTS WERE PURCHASED INTO THE CLIENT ACCOUNT. SPECIFICALLY, THE CLIENT ALLEGES THAT TRUST DEED INVESTMENTS ADVOCATED BY MR.



MEACHAM CARRIED FAR MORE RISK THAN WAS DISCLOSED. FURTHER, CLIENT ALLEGES THAT MR. MEACHAM DID NOT MANAGE THIS RISK BY FAILING TO PROPERLY DIVERSIFY THE CLIENT'S ACCOUNT.

Product Type: Other
Other Product Type(s): TRUST DEED
Alleged Damages: \$119,065.00

Customer Complaint Information

Date Complaint Received: 07/17/2002
Complaint Pending? No
Status: Settled
Status Date: 04/12/2003
Settlement Amount: \$62,400.00
Individual Contribution Amount: \$62,400.00

Disclosure 5 of 5

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: CORNERSTONE WEALTH MANAGEMENT, LLC

Allegations: CLIENT ALLEGES UNSUITABLE INVESTMENT PRODUCTS WERE PURCHASED INTO THE CLIENT ACCOUNT. SPECIFICALLY, THE CLIENT ALLEGES THAT TRUST DEED INVESTMENTS ADVOCATED BY MR. MEACHAM CARRIED FAR MORE RISK THAN WAS DISCLOSED. FURTHER, CLIENT ALLEGES THAT MR. MEACHAM DID NOT MANAGE THIS RISK BY FAILING TO PROPERLY DIVERSIFY THE CLIENT'S ACCOUNT.

Product Type: Other
Other Product Type(s): TRUST DEED
Alleged Damages: \$80,000.00

Customer Complaint Information

Date Complaint Received: 06/10/2002
Complaint Pending? No
Status: Settled
Status Date: 04/22/2003
Settlement Amount: \$25,000.00
Individual Contribution Amount: \$25,000.00



End of Report

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