



IAPD Report

R CHRIS NEE

CRD# 1799853

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1 - 2
Qualifications	3 - 6
Registration and Employment History	7 - 8
Disclosure Information	9



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

R CHRIS NEE (CRD# 1799853)

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 **04/20/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	CRD# 283004	04/07/2016
B	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	CRD# 1254	05/27/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **23** 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	RAYMOND JAMES FINANCIAL SERVICES, INC.	6694	PORTSMOUTH, NH	11/12/2015 - 05/27/2022
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	149018	PORTSMOUTH, NH	11/23/2015 - 12/08/2016
IA	OPPENHEIMER & CO. INC.	249	PORTSMOUTH, NH	07/13/2010 - 11/17/2015

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	1
Termination	1



Report Summary



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

Employment 1 of 2

Firm Name: **STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC**

Main Address: 15495 SW SEQUOIA PARKWAY
SUITE 150
PORTLAND, OR 97224

Firm ID#: 1254

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	05/27/2022
B	Arizona	Agent	Approved	05/27/2022
B	California	Agent	Approved	05/27/2022
B	Colorado	Agent	Approved	05/27/2022
B	Connecticut	Agent	Approved	05/27/2022
B	Florida	Agent	Approved	05/31/2022
B	Illinois	Agent	Approved	05/27/2022
B	Maine	Agent	Approved	05/27/2022
B	Maryland	Agent	Approved	05/27/2022
B	Massachusetts	Agent	Approved	05/27/2022
B	Missouri	Agent	Approved	03/19/2024
B	New Hampshire	Agent	Approved	05/27/2022
B	New Jersey	Agent	Approved	05/27/2022



Qualifications

	Regulator	Registration	Status	Date
B	New Mexico	Agent	Approved	01/23/2023
B	New York	Agent	Approved	05/27/2022
B	North Carolina	Agent	Approved	05/27/2022
B	Ohio	Agent	Approved	05/27/2022
B	Oregon	Agent	Approved	05/27/2022
B	Rhode Island	Agent	Approved	05/27/2022
B	South Carolina	Agent	Approved	05/27/2022
B	Texas	Agent	Approved	05/27/2022
B	Vermont	Agent	Approved	05/27/2022
B	Virginia	Agent	Approved	05/27/2022
B	Washington	Agent	Approved	05/27/2022

Branch Office Locations

STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC

145 MAPLEWOOD AVENUE
SUITE 100
PORTSMOUTH, NH 03801

Employment 2 of 2

Firm Name: STEWARD PARTNERS INVESTMENT ADVISORY, LLC
Main Address: 400 ATLANTIC STREET
FLOOR 10, SUITE 1020
STAMFORD, CT 06901-3512
Firm ID#: 283004

	Regulator	Registration	Status	Date
IA	New Hampshire	Investment Adviser Representative	Approved	04/07/2016



Qualifications

Regulator	Registration	Status	Date
 Texas	Investment Adviser Representative	Restricted Approval	04/11/2017

Branch Office Locations

STEWART PARTNERS INVESTMENT ADVISORY, LLC

145 Maplewood Avenue
Suite 100
Portsmouth, NH 03801



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

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

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	03/19/1988

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	01/03/2006
B Uniform Securities Agent State Law Examination (S63)	Series 63	01/17/1992



PROFESSIONAL DESIGNATIONS

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

No information reported.

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	11/12/2015 - 05/27/2022	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	PORTSMOUTH, NH
IA	11/23/2015 - 12/08/2016	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	PORTSMOUTH, NH
IA	07/13/2010 - 11/17/2015	OPPENHEIMER & CO. INC.	CRD# 249	PORTSMOUTH, NH
B	07/14/2008 - 11/17/2015	OPPENHEIMER & CO. INC.	CRD# 249	PORTSMOUTH, NH
B	04/02/2007 - 07/03/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PORTSMOUTH, NH
IA	04/02/2007 - 07/03/2008	MORGAN STANLEY & CO. INCORPORATED	CRD# 8209	PORTSMOUTH, NH
IA	01/20/2006 - 04/02/2007	MORGAN STANLEY	CRD# 7556	PORTSMOUTH, NH
B	05/06/2005 - 04/02/2007	MORGAN STANLEY DW INC.	CRD# 7556	PORTSMOUTH, NH
B	03/19/1999 - 05/20/2005	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NEW YORK, NY
B	08/29/1997 - 03/30/1999	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	07/01/1994 - 08/29/1997	EVEREN SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	12/21/1991 - 07/06/1994	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	10/12/1989 - 10/26/1990	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ
B	10/12/1989 - 10/26/1990	THE PRUDENTIAL INSURANCE COMPANY OF AMERICA	CRD# 680	NEWARK, NJ
B	05/22/1989 - 09/13/1989	DAVID LERNER ASSOCIATES, INC.	CRD# 5397	SYOSSET, NY
B	06/15/1988 - 04/15/1989	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	
B	03/22/1988 - 04/15/1989	THE STUART-JAMES COMPANY, INCORPORATED	CRD# 11691	DENVER, CO



Registration & Employment History

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
05/2022 - Present	STEWARD PARTNERS INVESTMENT SOLUTIONS, LLC	REGISTERED REPRESENTATIVE	Y	PORTSMOUTH, NH, United States
01/2016 - Present	STEWARD PARTNERS INVESTMENT ADVISORY, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	PORTSMOUTH, NH, United States
11/2015 - Present	STEWARD PARTNERS GLOBAL ADVISORY, LLC	Employee	N	PORTSMOUTH, NH, United States
11/2015 - 05/2022	RAYMOND JAMES FINANCIAL SERVICES	FINANCIAL ADVISOR	Y	PORTSMOUTH, NH, United States
11/2015 - 12/2016	RAYMOND JAMES FINANCIAL SERVICES ADVISORS INC.	INVESTMENT ADVISER REP	Y	PORTSMOUTH, NH, 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) Steward Partners Investment Advisory, LLC. - Investment related: Yes. Address: Portsmouth, NH. Nature of the business: Independent RIA. Position: Investment Advisor Representative. Start Date: 1/2016. Hours per month devoted to this business: 0. Hours per month devoted to this business during trading hours: 0. Description of Duties: Provide advisory services for clients.
- 2) Steward Partners Global Advisory, LLC. - Investment related: Yes. Address: Portsmouth, NH. Nature of business: Non-variable insurance and annuities. Position: Agent. Start date: 11/2015. Hours per month devoted to this business: 0. Hours per month devoted to this business during trading hours: 0. Description of Duties: Offer non-variable insurance, term, whole and universal life insurance, disability health, and immediate and fixed annuities.
- 3) Steward Partners Global Advisory, LLC. - Investment related: Yes. Address: Portsmouth, NH. Nature of the business: Support company/DBA (Non-owner). Position: Partner. Start Date: 11/2015. Hours per month devoted to this business: 0. Hours per month devoted to this business during trading hours: 0. Description of Duties: Financial Advisor.
- 4) Seacoast Wealth Management, Address: Portsmouth, NH, Nature of the Business: Support Company/DBA (Owner), Position/Title: Support Company/DBA (Owner), Investment Related: Yes, Start Date: 09/2018, Hours per month devoted to this business: 0, Hours per month devoted to this business during trading hours: 0, Description of duties: Financial Advisor



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	1
Termination	1

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 1

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO. INCORPORATED

Allegations: ORAL COMPLAINT: THE CLIENT ALLEGED THAT THE PURCHASE OF THREE MUTUAL FUNDS MADE IN MAY 2008 BY MR. NEE WERE NOT AUTHORIZED BY HER. WITHOUT ADMITTING LIABILITY ON THE PART OF THE FA OR FIRM, MORGAN STANLEY AGREED TO REVERSE THE TRADES AND CREDIT THE CLIENT'S ACCOUNT THE DIFFERENCE IN VALUE, WHICH IS THE AMOUNT OF SETTLEMENT REPORTED BELOW. ALLEGED COMPENSATORY DAMAGE AMOUNT UNSPECIFIED.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/15/2008

Complaint Pending? No

Status: Settled

Status Date: 10/02/2008

Settlement Amount: \$13,098.57



Individual Contribution Amount: \$0.00

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Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN STANLEY & CO. INCORPORATED

Allegations: ORAL COMPLAINT: THE CLIENT ALLEGED THAT THE PURCHASE OF THREE MUTUAL FUNDS MADE IN MAY 2008 BY MR. NEE WERE NOT AUTHORIZED BY HER. WITHOUT ADMITTING LIABILITY ON THE PART OF THE FA OR FIRM , MORGAN STANLEY AGREED TO REVERSE THE TRADES AND CREDIT THE CLIENT'S ACCOUNT THE DIFFERENCE IN VALUE, WHICH IS THE AMOUNT OF SETTLEMENT REPORTED BELOW. ALLEGED CAOMPENSATORY DAMAGE AMOUNT UNSPECIFIED.

Product Type: Other

Other Product Type(s): EQUITIES

Alleged Damages: \$0.00

Customer Complaint Information

Date Complaint Received: 07/18/2008

Complaint Pending? No

Status: Settled

Status Date: 10/02/2008

Settlement Amount: \$13,098.57

Individual Contribution Amount: \$0.00

Broker Statement MR. NEE WAS NOT AWARE OF THIS COMPLAINT AND WAS NOT CONTACTED BY MORGAN STANLEY REGARDING THE COMPLAINT. HE DENIES ANY IMPROPER ACTIONS REGARDING THIS CUSTOMER. HE HAS NOT BEEN ASKED TO CONTRIBUTE TOWARDS THIS SETTLEMENT.



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm

Firm Name: MORGAN STANLEY & CO., INCORPORATED

Termination Type: Discharged

Termination Date: 06/19/2008

Allegations: FA BREACHED HIS JOINT PRODUCTION AGREEMENT WITH HIS PARTNER IN A MANNER THAT RESULTED IN LOSS OF CONFIDENCE IN HIM BY THE FIRM.

Product Type: No Product

Other Product Types:

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Reporting Source: Individual

Firm Name: MORGAN STANLEY & CO., INCORPORATED

Termination Type: Discharged

Termination Date: 06/19/2008

Allegations: FA BREACHED HIS JOINT PRODUCTION AGREEMENT WITH HIS PARTNER IN A MANNER THAT RESULTED IN LOSS OF CONFIDENCE IN HIM BY THE FIRM.

Product Type: No Product

Other Product Types:



End of Report

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