User Guidance

www.adviserinfo.sec.gov

IAPD Report

CHRISTOPHER WILSON BLACK

CRD# 1856976

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 WILSON BLACK (CRD# 1856976)

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 **03/11/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	WELLS FARGO ADVISORS	CRD# 19616	01/01/2008
B	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	01/01/2008

QUALIFICATIONS

This representative is currently registered in **6** SRO(s) and 6 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	A. G. EDWARDS & SONS, INC.	4	SEATTLE, WA	04/11/2007 - 01/03/2008
IA	A. G. EDWARDS & SONS, INC.	4	SEATTLE, WA	04/18/2007 - 01/01/2008
B	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO	03/19/2003 - 03/30/2006

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	2
Termination	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 **6** jurisdiction(s) and 6 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS**

Main Address: ONE NORTH JEFFERSON AVENUE
MAIL CODE: H0004-05E
ST. LOUIS, MO 63103-2205

Firm ID#: 19616

	Regulator	Registration	Status	Date
B	Cboe Exchange, Inc.	General Securities Representative	Approved	11/19/2021
B	FINRA	General Securities Representative	Approved	01/01/2008
B	NYSE American LLC	General Securities Representative	Approved	07/29/2011
B	Nasdaq PHLX LLC	General Securities Representative	Approved	09/30/2011
B	Nasdaq Stock Market	General Securities Representative	Approved	01/01/2008
B	New York Stock Exchange	General Securities Representative	Approved	01/01/2008
B	Alaska	Agent	Approved	01/01/2008
B	California	Agent	Approved	01/01/2008
B	Nevada	Agent	Approved	07/08/2014
B	North Carolina	Agent	Approved	01/01/2008
B	Oregon	Agent	Approved	12/19/2016
B	Washington	Agent	Approved	01/01/2008
IA	Washington	Investment Adviser Representative	Approved	01/01/2008

Qualifications

Branch Office Locations

WELLS FARGO ADVISORS
999 3RD AVE
STE 4000
SEATTLE, WA 98104

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 Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	12/09/1994

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	08/20/1988

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/29/1988

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	04/11/2007 - 01/03/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SEATTLE, WA
IA	04/18/2007 - 01/01/2008	A. G. EDWARDS & SONS, INC.	CRD# 4	SEATTLE, WA
B	03/19/2003 - 03/30/2006	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
IA	03/19/2003 - 03/30/2006	A. G. EDWARDS & SONS, INC.	CRD# 4	SEATTLE, WA
IA	07/03/1990 - 02/19/2003	MERRILL LYNCH PIERCE FENNER & SMITH INC.	CRD# 7691	BELLEVUE, WA
B	08/25/1988 - 02/19/2003	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY

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
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	SEATTLE, WA, United States
05/2009 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	SEATTLE, WA, 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.

SOCKEYE MARINE LLC, NOT INV RELATED, BELLEVUE, WA, 50% OWNERSHIP, START 7/8/2022, 4 HOURS PER MONTH, ZERO HOURS DURING TRADING, BOAT OWNERSHIP.|
SKI MASTERS-SNOQUALMIE PASS; NOT INV RELATED; SNOQULAMIE PASS, WA; SKI INSTRUCTOR; START DATE 01/10/2025; 8 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
Customer Dispute	2
Termination	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:	NASD
Sanction(s) Sought:	
Date Initiated:	11/19/2004
Docket/Case Number:	CAF040084
Employing firm when activity occurred which led to the regulatory action:	MERRILL LYNCH, PIERCE, FENNER & SMITH INC.
Product Type:	No Product
Allegations:	NASD RULE 2110 - BLACK WAS NAMED AS A RESPONDENT IN AN ARBITRATION PROCEEDING FILED BY A PUBLIC CUSTOMER, IN CONNECTION WITH THE ARBITRATION, HE ALTERED HANDWRITTEN NOTES OF MEETINGS WITH CLAIMANT TO REMOVE PERSONAL COMMENTS ABOUT THE CUSTOMER AND TO ADD INFORMATION REGARDING CONVERSATIONS HE CLAIMED TO HAVE HAD WITH CUSTOMER ABOUT THE CUSTOMER'S FINANCIAL SITUATION, HOLDINGS, MARGIN AND OPTIONS STRATEGIES; BLACK ALSO CREATED OR ALTERED ROUGHLY EIGHT PAGES OF ADDITIONAL NOTES REGARDING OTHER CONVERSATIONS AND MEETINGS HE CLAIMED TO HAVE HAD WITH CUSTOMER, WROTE DATES ON THOSE NOTES, GIVING THE APPEAREANCE THAT THE NOTES WERE CREATED CONTEMPORANEOUSLY WITH THE EVENT DISCUSSED THEREIN, AND PLACED THE ALTERED NOTES IN CUSTOMER'S FILE AT THE FIRM; SUBSEQUENTLY PROVIDED THE

	ALTERED NOTES TO HIS MEMBER FIRM DURING DISCOVERY IN THE ARBITRATION AND FAILED TO NOTIFY HIS FIRM THAT THE NOTES HAD BEEN ALTERED UNTIL AT A LATER TIME.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
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:	02/23/2006
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE HE IS FINED $25,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY ONE YEAR. THE SUSPENSION WILL BEGIN MARCH 20, 2006 AND WILL CONCLUDE AT THE CLOSE OF BUSINESS MARCH 19, 2007. HEARING PANEL DECISION RENDERED DECEMBER 21, 2005, WHEREIN RESPONDENT CHRISTOPHER W. BLACK IS SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THREE MONTHS AND FINED $20,000. THE HEARING PANEL ALSO ORDERS RESPONDENT TO PAY THE $1,960.14 COSTS OF THE HEARING, WHICH INCLUDE AN ADMINISTRATIVE FEE OF $750 AND HEARING TRANSCRIPT COSTS OF $1,210.14. THE COSTS AND FINES SHALL BE DUE AND PAYABLE WHEN, AND IF, RESPONDENT SEEKS TO RETURN TO THE SECURITIES INDUSTRY. DEPARTMENT OF ENFORCEMENT APPEALS THE HEARING PANEL DECISION AS TO SANCTIONS JANUARY 12, 2006. FINES PAID.

Reporting Source:	Firm
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	11/29/2004
Docket/Case Number:	CAF040084
Employing firm when activity occurred which led to the regulatory action:	MERRILL LYNCH PIERCE FENNER AND SMITH
Product Type:	No Product
Other Product Type(s):	
Allegations:	ALLEGED VIOLATIONS OF CONDUCT RULE 2110 - FALSIFICATION OF RECORDS. THIS MATTER WAS PREVIOUSLY REPORTED AS A PENDING INVESTIGATION. NOTIFICATION WAS RECEIVED THAT THE NASD HAS FILED A FORMAL DISCIPLINARY COMPLAINT IN THIS MATTER.

Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	03/06/2006
Sanctions Ordered:	Monetary/Fine $25,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	1 YEAR SUSPENSION EFFECTIVE 3-20-2006 THROUGH 3-19-2007

Reporting Source:	Individual
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS
Sanction(s) Sought:	Suspension
Other Sanction(s) Sought:	FINE: $25,000
Date Initiated:	11/19/2004
Docket/Case Number:	CAF040084
Employing firm when activity occurred which led to the regulatory action:	MERRILL LYNCH PIERCE FENNIER & SMITH
Product Type:	No Product
Other Product Type(s):	
Allegations:	ALLEGED VIOLATION OF CONDUCT RULE 2110
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	02/23/2006
Sanctions Ordered:	Monetary/Fine $25,000.00 Suspension
Other Sanctions Ordered:	
Sanction Details:	OFFER OF SETTLEMENT WAS REACHED AGREEING TO A FINE OF $25,000 AND A ONE YEAR SUSPENSION IN ANY CAPACITY WHICH BEGAN ON MARCH 20, 2006 AND CONCLUDED MARCH 19, 2007.

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:	Firm
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CLAIMANT ALLEGES THAT HIS FINANCIAL ADVISOR MADE UNSUITABLE RECOMMENDATIONS TO EXERCISE EMPLOYER GRANTED STOCK OPTIONS AND HOLD THE RESULTING CONCENTRATED STOCK POSITION.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$3,800,000.00

Customer Complaint Information

Date Complaint Received:	12/10/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	12/10/2001
Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD # 01-06342
Date Notice/Process Served:	12/10/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/14/2003
Monetary Compensation Amount:	$2,762,500.00
Individual Contribution Amount:	$0.00
Firm Statement	DISPUTED CLAIM WAS SETTLED TO AVOID THE FURTHER EXPENSE AND DISTRACTION OF LITIGATION AND WITHOUT ANY ADMISSION OF LIABILITY BY THE RESPONDENTS.

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CLIENT ALLEGED UNSUITABLE RECOMMENDATIOINS REGARDING HIS EMPLOYEE STOCK OPTIONS AND LACK OF SUPERVISON BY MANAGEMENT.
Product Type:	Other
Other Product Type(s):	CLIENT BORROWED MONEY FROM MERRILL LYNCH IN ORDER TO FINANCE THE EXERCISE OF EMPLOYEE STOCK OPTIONS.
Alleged Damages:	$3,800,000.00

Customer Complaint Information

Date Complaint Received:	12/10/2001
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	01/20/2003
Settlement Amount:	
Individual Contribution Amount:	$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD # 01-06342
Date Notice/Process Served:	12/10/2001
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	02/14/2003
Monetary Compensation Amount:	$2,762,500.00
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MERRILL LYNCH
Allegations:	CLAIMANT ALLEGES THAT FINANCIAL ADVISOR MADE UNSUITABLE AND INAPPROPRIATE RECOMMENDATIONS REGARDING HIS MICROSOFT EMPLOYEE STOCK OPTIONS.
Product Type:	Other
Other Product Type(s):	CLIENT BORROWED MONEY FROM MERRILL LYNCH IN ORDER TO FINANCE THE EXERCISE OF EMPLOYEE STOCK OPTIONS.
Alleged Damages:	$1,400,000.00

Customer Complaint Information

Date Complaint Received:	06/07/2002
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	06/07/2002
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD-DR CASE NO. 02-03008
Date Notice/Process Served:	06/07/2002
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	01/14/2004
Monetary Compensation Amount:	$840,000.00
Individual Contribution Amount:	$0.00

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:	A. G. EDWARDS & SONS INC.
Termination Type:	Voluntary Resignation
Termination Date:	03/18/2006
Allegations:	MR. BLACK WAS TO BEGIN SERVING A 1 YEAR SUSPENSION BY THE NASD. MR. BLACK RESIGNED PRIOR TO THE START OF THE SUSPENSION.
Product Type:	No Product
Other Product Types:	

Reporting Source:	Individual
Firm Name:	A. G. EDWARDS & SONS, INC.
Termination Type:	Voluntary Resignation
Termination Date:	03/18/2006
Allegations:	BLACK SUBMITTED AN OFFER OF SETTLEMENT TO A ONE YEAR SUSPENSION AND FINE. HE VOLUNTARILY SUBMITTED HIS RESIGNATION DUE TO THE SUSPENSION.
Product Type:	No Product
Other Product Types:	

End of Report

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