



IAPD Report

CHRISTOPHER PAUL JORDAN

CRD# 2140494

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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 PAUL JORDAN (CRD# 2140494)

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 **05/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/29/2017
IA	LPL FINANCIAL LLC	CRD# 6413	11/29/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **37** 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	LEXCO WEALTH MANAGEMENT, INC.	134425	TARRYTOWN, NY	04/17/2023 - 12/31/2025
IA	LEXCO WEALTH MANAGEMENT, INC.	134425	TARRYTOWN, NY	01/24/2022 - 12/13/2022
IA	LEXCO WEALTH MANAGEMENT, INC.	134425	TARRYTOWN, NY	03/08/2006 - 12/31/2021

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	2



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

Employment 1 of 1

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	11/29/2017
B	FINRA	General Securities Representative	Approved	11/29/2017
B	FINRA	Invest. Co and Variable Contracts	Approved	11/29/2017
B	Arizona	Agent	Approved	07/06/2018
B	California	Agent	Approved	11/29/2017
B	Colorado	Agent	Approved	11/29/2017
B	Connecticut	Agent	Approved	11/29/2017
IA	Connecticut	Investment Adviser Representative	Approved	01/02/2022
B	Delaware	Agent	Approved	07/09/2019
B	District of Columbia	Agent	Approved	06/18/2019
B	Florida	Agent	Approved	11/30/2017
B	Georgia	Agent	Approved	02/16/2018
B	Illinois	Agent	Approved	11/29/2017



Qualifications

Regulator	Registration	Status	Date
B Indiana	Agent	Approved	05/28/2025
B Kansas	Agent	Approved	09/29/2025
B Maine	Agent	Approved	11/29/2017
B Maryland	Agent	Approved	11/29/2017
B Massachusetts	Agent	Approved	11/29/2017
B Michigan	Agent	Approved	03/07/2019
B Missouri	Agent	Approved	09/23/2020
B Nebraska	Agent	Approved	03/06/2023
B Nevada	Agent	Approved	06/24/2019
B New Hampshire	Agent	Approved	11/29/2017
B New Jersey	Agent	Approved	11/29/2017
IA New Jersey	Investment Adviser Representative	Approved	11/29/2017
B New Mexico	Agent	Approved	11/29/2017
B New York	Agent	Approved	11/29/2017
IA New York	Investment Adviser Representative	Approved	09/29/2021
B North Carolina	Agent	Approved	11/29/2017
B Ohio	Agent	Approved	11/29/2017
B Oklahoma	Agent	Approved	06/17/2019
B Oregon	Agent	Approved	06/02/2025



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	11/29/2017
B Puerto Rico	Agent	Approved	11/07/2023
B Rhode Island	Agent	Approved	11/29/2017
B South Carolina	Agent	Approved	11/29/2017
B Tennessee	Agent	Approved	08/04/2021
B Texas	Agent	Approved	11/29/2017
IA Texas	Investment Adviser Representative	Restricted Approval	11/29/2017
B Utah	Agent	Approved	11/29/2017
B Vermont	Agent	Approved	11/29/2017
B Virginia	Agent	Approved	11/29/2017
B Washington	Agent	Approved	06/29/2023
B Wisconsin	Agent	Approved	07/08/2025

Branch Office Locations

LPL FINANCIAL LLC
120 WHITE PLAINS RD STE 112
TARRYTOWN, NY 10591

LPL FINANCIAL LLC
STAMFORD, CT




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, 3 general industry/product exams, and 3 state securities law exams.





Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Principal Examination (S24)	Series 24	01/25/2005

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/24/2003
	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/19/1991

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	09/29/2021
	Uniform Investment Adviser Law Examination (S65)	Series 65	01/06/2004
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/1991

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
IA	04/17/2023 - 12/31/2025	LEXCO WEALTH MANAGEMENT, INC.	CRD# 134425	TARRYTOWN, NY
IA	01/24/2022 - 12/13/2022	LEXCO WEALTH MANAGEMENT, INC.	CRD# 134425	TARRYTOWN, NY
IA	03/08/2006 - 12/31/2021	LEXCO WEALTH MANAGEMENT, INC.	CRD# 134425	TARRYTOWN, NY
IA	01/21/2004 - 12/06/2017	NATIONAL PLANNING CORPORATION ("NPC OF AMERICA" IN FL & NY)	CRD# 29604	GREENWICH, CT
B	02/22/2000 - 11/29/2017	NATIONAL PLANNING CORPORATION	CRD# 29604	GREENWICH, CT
B	11/01/1995 - 02/25/2000	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SCOTTSDALE, AZ
B	04/27/1992 - 11/02/1995	NATHAN & LEWIS SECURITIES, INC.	CRD# 8503	NEW YORK, NY
B	05/07/1991 - 04/24/1992	CIGNA SECURITIES, INC.	CRD# 145	RADNOR, PA

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
11/2017 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	TARRYTOWN, NY, United States
06/2005 - Present	LEXCO WEALTH MANAGEMENT, INC.	PRESIDENT & CEO / INVESTMENT ADVISER REPRESENTATIVE	Y	TARRYTOWN, NY, United States
02/2000 - 11/2017	NATIONAL PLANNING CORPORATION	REGISTERED REPRESENTATIVE	Y	TARRYTOWN, NY, 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. 11/29/2017 - Lexco Wealth Management - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business).
2. 11/29/2017 - Christopher Jordan - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - AGENT - Start Date 11/12/2011 - 20 Hours Per Month - Life, Health, DI, LTC.
3. 11/29/2017 - Lexco Wealth Management - Investment Related - At Reported Business Location(s) - Real Estate Rental - Landlord - 5 Hours Per Month - Sublet to advisors in practice.
4. 1/19/2018 - LEXCO Wealth Management, Inc. - Investment Related - At Reported Business Location(s) - Registered Investment Advisor - IAR - Started 10/2017 - 8 Hours Per Month During Securities Trading - Time Spent 5% - I provide financial planning and consulting services through LEXCO Wealth Management, Inc., an independent investment advisor firm. I started this business activity in 10/2017. I expect to spend approximately 8 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 advisory firm is separate from and independent of LPL Financial.
5. 11/08/2019 - LEXCO Wealth Management - Investment related - At reported business location(s) - Insurance Agency - start date:5/13/2019 - 8 hrs/mo - 5 hrs during trading.
6. 3/7/2023 - Advisers Insurance Brokers - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Agent - Start Date - 02/15/2023 - 5 Hours Per Month/5 Hours During Securities 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
Customer Dispute	2

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:	National Planning Corporation
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTIES AND VIOLATION OF NASD AND FINRA RULES, BREACH OF CONTRACT AND NEGLIGENCE.
Product Type:	Annuity-Variable
Alleged Damages:	\$199,215.86
Alleged Damages Amount Explanation (if amount not exact):	THE FIRM HAS MADE A GOOD FAITH DETERMINATION FOR THE ALLEGED DAMAGES AMOUNT
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	01/28/2016
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	05/05/2016
Settlement Amount:	

**Individual Contribution****Amount:****Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA**Docket/Case #:** 16-01199**Date Notice/Process Served:** 05/05/2016**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 09/09/2017**Monetary Compensation Amount:** \$100,000.00**Individual Contribution Amount:** \$0.00**Firm Statement**

Claimant sold business and invested over period of months and many meetings. He signed all authorizations and all suitability documentation, and approximately 8 months after, during a temporary market correction, was encouraged to liquidate his portfolio by contra brokers. Client never expressed any concern until after account was transferred. Given client's age, case was settled on advice of counsel with no finding of any actual wrongdoing and no contribution to settlement from me.

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Reporting Source: Individual**Employing firm when activities occurred which led to the complaint:** National Planning Corporation**Allegations:** CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTIES AND VIOLATION OF NASD AND FINRA RULES, BREACH OF CONTRACT AND NEGLIGENCE.**Product Type:** Annuity-Variable**Alleged Damages:** \$199,215.86**Alleged Damages Amount Explanation (if amount not exact):** THE FIRM HAS MADE A GOOD FAITH DETERMINATION FOR THE ALLEGED DAMAGES AMOUNT.**Is this an oral complaint?** No**Is this a written complaint?** Yes**Is this an arbitration/CFTC reparation or civil litigation?** No**Customer Complaint Information****Date Complaint Received:** 01/28/2016**Complaint Pending?** No**Status:** Evolved into Arbitration/CFTC reparation (the individual is a named party)**Status Date:** 05/05/2016

**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):** FINRA**Docket/Case #:** 16-01199**Date Notice/Process Served:** 05/05/2016**Arbitration Pending?** No**Disposition:** Settled**Disposition Date:** 09/19/2017**Monetary Compensation Amount:** \$100,000.00**Individual Contribution Amount:** \$0.00**Broker Statement**

Claimant sold business and invested over period of months and many meetings. He signed all authorizations and all suitability documentation, and approximately 8 months after, during a temporary market correction, was encouraged to liquidate his portfolio by contra brokers. Client never expressed any concern until after account was transferred. Given client's age, case was settled on advice of counsel with no finding of any actual wrongdoing and no contribution to settlement from me.

Disclosure 2 of 2**Reporting Source:** Individual**Employing firm when activities occurred which led to the complaint:** NATIONAL PLANNING CORPORATION**Allegations:** CLAIMANT ALLEGES THE INVESTMENTS WERE UNSUITABLE.**Product Type:** Mutual Fund(s)**Alleged Damages:** \$500,000.00**Customer Complaint Information****Date Complaint Received:** 04/19/2006**Complaint Pending?** No**Status:** Arbitration/Reparation**Status Date:** 04/19/2006**Settlement Amount:****Individual Contribution Amount:****Arbitration Information****Arbitration/Reparation Claim filed with and Docket/Case No.:** NASD CASE NO. 06-01798



Date Notice/Process Served:	04/19/2006
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	03/06/2007
Monetary Compensation Amount:	\$37,500.00
Individual Contribution Amount:	\$0.00
Broker Statement	CLAIMS AGAINST MR. JORDAN WERE DISMISSED BY CLAIMANT AS PART OF THE SETTLEMENT FOR \$37,500. MR. JORDAN DID NOT CONTRIBUTE ANY MONEY TOWARDS THE SETTLEMENT, NOR WAS THERE ANY FINDING THAT UNSUITABILITY OR ANY WRONGDOING ACTUALLY OCCURRED.



End of Report

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