



IAPD Report

CHRISTOPHER RUSSELL WALTER

CRD# 2208463

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 6
Disclosure Information	7



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 RUSSELL WALTER (CRD# 2208463)

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 **12/04/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	WESBANCO SECURITIES, INC.	CRD# 43276	09/17/2020
IA	WESBANCO SECURITIES, INC.	CRD# 43276	02/08/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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	SUNTRUST ADVISORY SERVICES, INC.	283390	LAUREL, MD	09/06/2016 - 09/27/2019
B	SUNTRUST INVESTMENT SERVICES, INC.	17499	BELTSVILLE, MD	12/01/2014 - 09/27/2019
IA	SUNTRUST INVESTMENT SERVICES, INC.	17499	BELTSVILLE, MD	12/03/2014 - 12/31/2016

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
Termination	1
Financial	2
Judgment/Lien	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 **4** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **WESBANCO SECURITIES, INC.**

Main Address: 135 W MAIN STREET
ST CLAIRSVILLE, OH 43950

Firm ID#: 43276

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/17/2020
B	Maryland	Agent	Approved	09/24/2020
IA	Maryland	Investment Adviser Representative	Approved	02/08/2022
B	Pennsylvania	Agent	Approved	09/18/2020
B	Virginia	Agent	Approved	09/26/2020
B	West Virginia	Agent	Approved	09/29/2020

Branch Office Locations

WESBANCO SECURITIES, INC.
7801 Old Branch Ave. Ste. 100
Clinton, MD 20735

WESBANCO SECURITIES, INC.
7801 Old Branch Ave., Ste. 100
Clinton, MD 20735



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	03/24/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/29/1998
B Uniform Securities Agent State Law Examination (S63)	Series 63	03/27/1992



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	09/06/2016 - 09/27/2019	SUNTRUST ADVISORY SERVICES, INC.	CRD# 283390	LAUREL, MD
B	12/01/2014 - 09/27/2019	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BELTSVILLE, MD
IA	12/03/2014 - 12/31/2016	SUNTRUST INVESTMENT SERVICES, INC.	CRD# 17499	BELTSVILLE, MD
B	12/07/2012 - 12/12/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	LAUREL, MD
IA	12/07/2012 - 12/12/2014	WELLS FARGO ADVISORS, LLC	CRD# 19616	LAUREL, MD
B	09/08/2011 - 12/07/2012	UNITED BROKERAGE SERVICES, INC	CRD# 39062	WINCHESTER, VA
IA	09/07/2011 - 12/07/2012	UNITED BROKERAGE SERVICES INC	CRD# 39062	WINCHESTER, VA
B	11/27/2007 - 08/02/2011	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	HAGERSTOWN, MD
IA	11/27/2007 - 08/02/2011	PRIMEVEST FINANCIAL SERVICES, INC.	CRD# 15340	HAGERSTOWN, MD
IA	07/02/2003 - 11/28/2007	IFMG SECURITIES, INC.	CRD# 14416	BEL AIR, MD
B	02/07/2003 - 11/28/2007	IFMG SECURITIES, INC.	CRD# 14416	BEL AIR, MD
IA	07/09/2001 - 02/10/2003	INVEST FINANCIAL CORPORATION	CRD# 12984	HAGERSTOWN, MD
B	06/25/2001 - 02/10/2003	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	10/07/2000 - 06/21/2001	M&T SECURITIES, INC.	CRD# 17358	BALTIMORE, MD
B	06/15/2000 - 10/07/2000	KEYSTONE BROKERAGE, LLC	CRD# 17445	WILLIAMSPORT, PA



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	12/03/1999 - 06/08/2000	BGS&G INVESTMENT SERVICES, INC.	CRD# 16678	CLEVELAND, OH
B	03/12/1998 - 11/24/1999	KEYSTONE BROKERAGE, INC.	CRD# 17445	WILLIAMSPORT, PA
B	05/16/1995 - 03/06/1998	FIRST MARYLAND BROKERAGE CORPORATION	CRD# 17531	BALTIMORE, MD
B	03/10/1995 - 04/04/1995	ROBERT THOMAS SECURITIES, INC	CRD# 10147	ST. PETERSBURG, FL
B	04/21/1994 - 03/09/1995	INVEST FINANCIAL CORPORATION	CRD# 12984	APPLETON, WI
B	12/15/1992 - 04/01/1994	GUARDIAN INVESTOR SERVICES CORPORATION	CRD# 6635	NEW YORK, NY
B	04/08/1992 - 05/19/1992	F.N. WOLF & CO., INC.	CRD# 13051	

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
08/2020 - Present	Wesbanco Securities, Inc.	VP Financial Advisor	Y	Clinton, MD, United States
09/2019 - 08/2020	Unemployed	Unemployed	N	Lutherville-Timonium, MD, United States
08/2016 - 09/2019	SunTrust Advisory Services	Advisor	Y	Atlanta, GA, United States
12/2014 - 09/2019	SUNTRUST INVESTMENT SERVICES, INC.	FINANCIAL ADVISOR	Y	ATLANTA, GA, 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.

ALLSTATE "RESCURER" Starting approximately 12-8-22; Contractor, self employed; Helping people out on the roads with car issues, jumps, flats, etc.; Paid by Allstate per completed



Registration & Employment History



OTHER BUSINESS ACTIVITIES

activity; Only working on weekends and Holidays.



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
Termination	1
Financial	2
Judgment/Lien	2

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: PRIMEVEST FINANCAL SERVICE INC.

Termination Type: Discharged

Termination Date: 07/27/2011

Allegations: FAILED TO PROVIDE ACCURATE CUSTOMER BIRTHDATES ON MULTIPLE ANNUITY APPLICATIONS.

Product Type: Annuity-Fixed
Annuity-Variable

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Reporting Source: Individual

Firm Name: PRIMEVEST

Termination Type: Discharged

Termination Date: 07/27/2011

Allegations: INACCURATE BIRTHDATES ON APPLICATIONS

Product Type: Annuity-Fixed
Annuity-Variable

Broker Statement PHOTO COPIES, FACSMILIES OF IDENTIFICATION-DRIVERS LICENSES WAS PARTIALLY ILLEGIBLE. BIRTHDATE ENTRIES ON CERTAIN APPLICATIONS TURNED OUT TO BE INACCURATE.



Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 2

Reporting Source: Individual

Action Type: Bankruptcy

Bankruptcy: Chapter 13

Action Date: 08/01/2024

Organization Investment-Related?

Type of Court: Federal Court

Name of Court: US Bankruptcy Court

Location of Court: District of Maryland

Docket/Case #: 24-16487

Action Pending? Yes

Disclosure 2 of 2

Reporting Source: Individual

Action Type: Bankruptcy

Bankruptcy: Chapter 13

Action Date: 07/13/2023

Organization Investment-Related?

Type of Court: Federal Court

Name of Court: U.S. Bankruptcy Court

Location of Court: Greenbelt, MD

Docket/Case #: 2314898

Action Pending? No

Disposition: Dismissed

Disposition Date: 05/30/2024

Amount Paid:

SIPA (Securities Investor Protection Act) Trustee: Timothy Branigan

Currently Open? Yes

Date Direct Payment Initiated/Filed or Trustee Appointed: 07/13/2023

Broker Statement Registered Rep Voluntarily dismissed the bankruptcy





Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	Bank of America
Judgment/Lien Amount:	\$17,000.00
Judgment/Lien Type:	Civil
Date Filed with Court:	10/15/2021
Date Individual Learned:	01/07/2022
Type of Court:	State Court
Name of Court:	Washington County District Court
Location of Court:	Hagerstown, MD.
Docket/Case #:	D-112-CV-20-010035
Judgment/Lien Outstanding?	Yes
Broker Statement	Issue occurred due to a period of the little income during disability period. Working to appeal / resolve.

Disclosure 2 of 2

Reporting Source:	Individual
Judgment/Lien Holder:	State of Maryland Comptroller
Judgment/Lien Amount:	\$11,812.59
Judgment/Lien Type:	Tax
Date Filed with Court:	04/26/2019
Date Individual Learned:	10/01/2019
Type of Court:	State Court
Name of Court:	Washington County District Court
Location of Court:	Hagerstown, Md
Docket/Case #:	C-21-JG-19-000673
Judgment/Lien Outstanding?	Yes
Broker Statement	Was unemployed due to medical reasons, working to resolve.



End of Report

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