



IAPD Report

CHRIS ALLEN NELSON

CRD# 2246462

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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 ALLEN NELSON (CRD# 2246462)

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 **10/01/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	07/13/2018
IA	NFSG CORPORATION	CRD# 130814	07/16/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **9** 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	QUESTAR ASSET MANAGEMENT, INC.	133358	SIOUX FALLS, SD	05/20/2013 - 06/04/2018
B	QUESTAR CAPITAL CORPORATION	43100	SIOUX FALLS, SD	05/03/2013 - 06/04/2018
IA	WOODBURY FINANCIAL SERVICES, INC.	421	SIOUX FALLS, SD	07/22/2008 - 05/09/2013

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

Employment 1 of 2

Firm Name: **NEWBRIDGE SECURITIES CORPORATION**
Main Address: 1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432
Firm ID#: 104065

	Regulator	Registration	Status	Date
	FINRA	Invest. Co and Variable Contracts	Approved	07/13/2018
	Arizona	Agent	Approved	03/02/2022
	Florida	Agent	Approved	02/15/2022
	Iowa	Agent	Approved	07/18/2018
	Minnesota	Agent	Approved	07/19/2018
	Missouri	Agent	Approved	08/16/2018
	Nebraska	Agent	Approved	07/20/2018
	North Dakota	Agent	Approved	07/19/2018
	South Dakota	Agent	Approved	07/16/2018
	Wisconsin	Agent	Approved	07/19/2018

Branch Office Locations

IT FINANCIAL
4120 S. ELMWOOD PLACE
SIOUX FALLS, SD 57105



Qualifications

Employment 2 of 2

Firm Name: **NFSG CORPORATION**
Main Address: 1200 NORTH FEDERAL HIGHWAY
SUITE 400
BOCA RATON, FL 33432
Firm ID#: 130814

	Regulator	Registration	Status	Date
IA	South Dakota	Investment Adviser Representative	Approved	07/16/2018

Branch Office Locations

NFSG CORPORATION
IT FINANCIAL
4120 S. ELMWOOD PLACE
SIOUX FALLS, SD 57105



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 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	06/05/1992

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	03/03/2006
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/12/1992



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	05/20/2013 - 06/04/2018	QUESTAR ASSET MANAGEMENT, INC.	CRD# 133358	SIOUX FALLS, SD
B	05/03/2013 - 06/04/2018	QUESTAR CAPITAL CORPORATION	CRD# 43100	SIOUX FALLS, SD
IA	07/22/2008 - 05/09/2013	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SIOUX FALLS, SD
B	07/16/2008 - 05/09/2013	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	SIOUX FALLS, SD
B	05/14/2002 - 07/22/2008	WALNUT STREET SECURITIES, INC.	CRD# 15840	SIOUX FALLS, SD
IA	03/22/2006 - 07/18/2008	PFG FINANCIAL ADVISORS NETWORK	CRD# 116021	SIOUX FALLS, SD
B	06/08/1992 - 04/03/2002	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

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
07/2018 - Present	NEWBRIDGE SECURITIES CORP	REGISTERED REPRESENTATIVE	Y	SIOUX FALLS, SD, United States
05/2013 - 06/2018	QUESTAR ASSET MANAGEMENT	INVESTMENT ADVISOR REPRESENTATIVE	Y	MINNEAPOLIS, MN, United States
05/2013 - 06/2018	QUESTAR CAPITAL CORPORATION	REGISTERED REPRESENTATIVE	Y	MINNEAPOLIS, MN, 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)IT FINANCIAL (DBA):

POSITION: Insurance Agent. NATURE: Insurance Sales. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 05/03/2013

ADDRESS: 4120 S. ELMWOOD PLACE, SIOUX FALLS SD 57105, United States

DESCRIPTION: Insurance sales of fixed, life, health, disability, long term care, employee benefits, property & casualty.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

2) VALBURG SKY RANCH:

POSITION: Hunting Camp Manager. NATURE: Pheasant hunting. INVESTMENT RELATED: No NUMBER OF HOURS: 29

SECURITIES TRADING HOURS: 29 START DATE: 09/01/2017

ADDRESS: S8, Draper SD 57531, United States

DESCRIPTION: Guide pheasant hunters. maintain land for pheasants. cooking for hunters. cleaning sleeping areas.



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
Criminal	1
Customer Dispute	1
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:

Other Sanction(s) Sought:

Date Initiated: 05/20/2004

Docket/Case Number: C04040025

Employing firm when activity occurred which led to the regulatory action: PRUCO SECURITIES, LLC

Product Type: No Product

Other Product Type(s):

Allegations: NASD CONDUCT RULE 2110 AND 3030 - RESPONDENT CHRIS ALLEN NELSON PARTICIPATED IN OUTSIDE BUSINESS ACTIVITIES AND FAILED TO PROVIDE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM.

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:

05/20/2004

Sanctions Ordered:

Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CHRIS ALLEN NELSON CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED \$2,500.00 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR TWO MONTHS. SUSPENSION EFFECTIVE JUNE 21, 2004 TO CLOSE OF BUSINESS AUGUST 20, 2004.

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Reporting Source:

Individual

Regulatory Action Initiated By:

NASD

Sanction(s) Sought:

Suspension

Other Sanction(s) Sought:

FINE

Date Initiated:

05/20/2004

Docket/Case Number:

C04040025

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

PRUCO SECURITIES, INC.

Product Type:

No Product

Other Product Type(s):

Allegations:

NASD CONDUCT RULE 2110 AND 3030 - RESPONDENT CHRIS ALLEN NELSON PARTICIPATED IN OUTSIDE BUSINESS ACTIVITIES AND FAILED TO PROVIDE PROMPT WRITTEN NOTICE TO HIS MEMBER FIRM

Current Status:

Final

Resolution:

Acceptance, Waiver & Consent(AWC)

Resolution Date:

05/20/2004

Sanctions Ordered:

Monetary/Fine \$2,500.00
Suspension

Other Sanctions Ordered:

Sanction Details:

WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, THE RESPONDENT CHRIS ALLEN NELSON CONSENTED TO THE FINDING OF THE ALLEGATIONS AND TO THE FOLLOWING SANCTIONS: FINED \$2,500.00 AND SUSPENDED FROM ASSOCIATION WITH ANY MEMBER IN ANY CAPACITY FOR TWO MONTHS. SUSPENSION EFFECTIVE JUNE 21, 2004 TO CLOSE OF BUSINESS AUGUST 20, 2004



Criminal

This disclosure event involves a criminal charge against the Investment Adviser Representative that has resulted in a dismissal, plea, acquittal or conviction. The criminal matter may relate to any felony or certain misdemeanor offenses (e.g., bribery, perjury, forgery, counterfeiting, extortion, fraud, wrongful taking of property).

Disclosure 1 of 1

Reporting Source:	Individual
Court Details:	DEPARTMENT OF PUBLIC SAFETY MARSHALL TAG # 90574
Charge Date:	11/20/1990
Charge Details:	DUMPING ONE GARBAGE BAG IN THE FORM OF A GROCERY BAG INTO A DUMPSTER BEHIND GESMEY'S PRINTING IN MARSHALL MN WITHOUT PERMISSION. THIS WAS CONSIDERED THEFT OF SERVICES.
Felony?	No
Current Status:	Final
Status Date:	12/11/1990
Disposition Details:	MISDEMEANOR THEFT OF SERVICES WITH A \$35.00 FINE, WAS SETTLED IN COURT ON 12/11/90 AND PAID ON THAT DAY.
Broker Statement	ON 11/20/90, I WAS FINISHED WITH MY LAST DAY OF THE 1ST QUARTER OF COLLEGE. I LIVED IN A BASEMENT OF A HOUSE. IT WAS TUESDAY AND GARBAGE PICKUP WASN'T UNTIL THURSDAY. I COULDN'T LEAVE THE GARBAGE IN THE BASEMENT BECAUSE OF THE SMELL AND I COULDN'T TAKE IT HOME SO I DUMPED ONE GROCERY BAG OF GARBAGE INTO A DUMPSTER BEHIND GESMEY'S PRINTING, THINKING THAT IT WAS NO BIG DEAL.



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:	PRUCO SECURITIES
Allegations:	REGARDING THE 1997 OF A VARIABLE APPRECIABLE LIFE INSURANCE POLICY, THE CLIENT ALLEGES MIREPRESENTATION CONCERNING THE ABBREVIATED PAYMENT PLAN. THE INSURED DID NOT ALLEGE ANY SPECIFIED DAMAGES, HOWEVER THE COMPANY'S GOOD FAITH DETERMINATION ESTIMATES THEM TO BE APPROXIMATELY \$22192.75.
Product Type:	Insurance
Alleged Damages:	\$22,192.75

Customer Complaint Information

Date Complaint Received:	10/02/2002
Complaint Pending?	No
Status:	Settled
Status Date:	03/27/2003
Settlement Amount:	\$73,059.69
Individual Contribution Amount:	\$0.00
Firm Statement	THIS MATTER IS BEING REPORTED CONSISTENT WITH NASDR RULES PERTAINING TO THE REPORTING OF CERTAIN WRITTEN CUSTOMER COMPLAINTS.THE COMPANY BY THIS FILING MAKES NO ALLEGATIONS REGARDING THE ACTIONS OF THIS REPRESENTATIVE.

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Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PRUDENTIAL
Allegations:	THE CLIENT ALLEGES MISREPRESENTATION CONCERNING ABBREVIATION PAYMENT PLAN OF THE SALE IN 1997 OF A VARIABLE APPRECIABLE LIFE.
Product Type:	Insurance
Alleged Damages:	\$22,192.75

Customer Complaint Information

Date Complaint Received:	10/02/2002
Complaint Pending?	No



Status:	Settled
Status Date:	03/27/2003
Settlement Amount:	\$73,059.69
Individual Contribution Amount:	\$0.00
Broker Statement	REGARDING THE 1997 SALE OF A VARIABLE APPRECIABLE LIFE POLICY TO [CUSTOMER], I WAS NOT THE WRITING REPRESENTATIVE ON THIS CASE. I WAS ALONG WITH A NEW REPRESENTATIVE TO PROVIDE SALES CRITIQUING. I RECEIVED PART OF THE COMMISSION FOR BEING THERE BUT I DID NOT WRITE THE CASE.



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:	Individual
Firm Name:	PRUCO SECURITIES, INC.
Termination Type:	Voluntary Resignation
Termination Date:	03/28/2002
Allegations:	IT WAS ALLEGED THAT I REPLACED, OR ATTEMPTED TO REPLACE, EXISTING PRUDENTIAL INSURANCE WITH INSURANCE CONTRACTS FROM THIRD PARTIES; ENGAGED IN UNAPPROVED OUTSIDE BUSINESS ACITVITY; FAILED TO AMEND MY FORM U-4 BY REPORTING OUTSIDE BUSINESS AFFILIATIONS; AND FAILED TO SUBMIT A D/B/A FOR PRIOR MANAGEMENT APPROVAL. I RESIGNED FROM THE COMPANY PRIOR TO THE CONCLUSION OF THE REVIEW.
Product Type:	Annuity(ies) - Fixed
Other Product Types:	



End of Report

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