IAPD Report

CHRISTOPHER D SCROGGINS

CRD# 2316466

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 D SCROGGINS (CRD# 2316466)

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 **12/17/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/12/2006
IA	UBS FINANCIAL SERVICES INC.	CRD# 8174	08/12/2006

QUALIFICATIONS

This representative is currently registered in **10** SRO(s) and **27** 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	PIPER JAFFRAY & CO.	665	SAN FRANCISCO, CA	09/16/1997 - 08/12/2006
B	PIPER JAFFRAY & CO.	665	SAN FRANCISCO, CA	04/03/1993 - 08/12/2006

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
Criminal	1
Customer Dispute	4

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 **27** jurisdiction(s) and 1**0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Address: 1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086

Firm ID#: 8174

	Regulator	Registration	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/16/2012
B	Cboe Exchange, Inc.	General Securities Representative	Approved	08/12/2006
B	FINRA	General Securities Representative	Approved	08/12/2006
B	NYSE American LLC	General Securities Representative	Approved	08/12/2006
B	NYSE Arca, Inc.	General Securities Representative	Approved	08/12/2006
B	NYSE Texas, Inc.	General Securities Representative	Approved	07/20/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	01/25/2008
B	Nasdaq PHLX LLC	General Securities Representative	Approved	08/12/2006
B	Nasdaq Stock Market	General Securities Representative	Approved	08/12/2006
B	New York Stock Exchange	General Securities Representative	Approved	08/12/2006
B	California	Agent	Approved	08/12/2006
IA	California	Investment Adviser Representative	Approved	08/12/2006
B	Colorado	Agent	Approved	08/12/2006

Qualifications

	Regulator	Registration	Status	Date
B	Connecticut	Agent	Approved	08/15/2006
B	Delaware	Agent	Approved	06/30/2016
B	Florida	Agent	Approved	08/14/2006
B	Georgia	Agent	Approved	08/12/2006
B	Illinois	Agent	Approved	08/12/2006
B	Indiana	Agent	Approved	04/20/2015
B	Kansas	Agent	Approved	08/12/2006
B	Maryland	Agent	Approved	08/12/2006
B	Massachusetts	Agent	Approved	08/12/2006
B	Michigan	Agent	Approved	08/12/2006
B	Minnesota	Agent	Approved	01/08/2009
B	Missouri	Agent	Approved	01/23/2015
B	Nevada	Agent	Approved	02/23/2015
B	New Jersey	Agent	Approved	08/12/2006
B	New York	Agent	Approved	08/12/2006
B	North Carolina	Agent	Approved	08/12/2006
B	Ohio	Agent	Approved	08/12/2006
B	Oregon	Agent	Approved	09/22/2015
B	Pennsylvania	Agent	Approved	08/12/2006

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	07/06/2022
B	Tennessee	Agent	Approved	02/24/2017
B	Texas	Agent	Approved	08/12/2006
IA	Texas	Investment Adviser Representative	Restricted Approval	08/20/2007
B	Virginia	Agent	Approved	08/12/2006
B	Washington	Agent	Approved	08/12/2006
B	Wisconsin	Agent	Approved	08/12/2006

Branch Office Locations

UBS FINANCIAL SERVICES INC.
1255 Treat Blvd
Suite 1000
WALNUT CREEK, CA 94597

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	03/18/2004
B	General Securities Representative Examination (S7)	Series 7	03/03/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/31/1995
B	Uniform Securities Agent State Law Examination (S63)	Series 63	03/10/1993

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
IA	09/16/1997 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	SAN FRANCISCO, CA
B	04/03/1993 - 08/12/2006	PIPER JAFFRAY & CO.	CRD# 665	SAN FRANCISCO, CA

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
08/2006 - Present	UBS FINANCIAL SERVICES INC.	FINANCIAL ADVISOR	Y	SAN FRANCISCO, CA, 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.

No information reported.

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
Criminal	1
Customer Dispute	4

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:	DISTRICT COURT LARIMER COUNTY COLORADO CASE NO. 87-CR-49
Charge Date:	01/13/1987
Charge Details:	FELONY 5 CHARGE OF CRIMINAL ATTEMPT TO COMMIT THE CRIME OF UNAUTHORIZED USE OF A FINANCIAL TRANSACTION DEVICE. ALLEGED CRIMINAL ATTEMPT TO COMMIT THE CRIME OF UNAUTHORIZED USE OF A FINANCIAL TRANSACTION DEVICE. I DROVE A FRIEND TO A TRAVEL AGENT. HE HAD CALLED WITH A CREDIT CARD # HE FOUND ON A CREDIT CARD CARBON & CHARGED A PLANE TICKET. THE POLICE WERE WAITING FOR HIM & ARRESTED HIM WHEN HE SIGNED THE RECEIPT. I WALKED UP TO THE OFFICER & TOLD THEM I WAS HIS FRIEND. THEY ASKED ME IF I WAS AWARE OF WHAT HE WAS DOING & I SAID YES. THEY ARRESTED ME. I HAD A FAKE ID I USED TO GET IN BARS ON ME WHICH THEY FOUND IN MY WALLET & TOLD ME THAT WAS FORGERY. IN A DUAL DEAL WITH MY FRIEND, THE DA GAVE US THE SAME CHARGE & ASSURED ME IT WOULD BE DISMISSED AS PER MY AGREEMENT SO I WAS NOT CONVICTED.
Felony?	Yes
Current Status:	Final
Status Date:	04/22/1988
Disposition Details:	PLED GUILTY TO COUNT I (3/27/87)- CRIMINAL ATTEMPT TO COMMIT THE CRIME OF UNAUTHORIZED USE OF A FINANCIAL TRANSACTION DEVICE, CLASS 5 FELONY. SENTENCE - 75 HOURS OF USEFUL PUBLIC SERVICE AND $100 TO THE COLORADO VICTIM'S COMPENSATION FUND & ALL OTHER ASSESSED COURT COSTS THROUGH THE REGISTRY OF THE LARIMER COUNTY DISTRICT COURT. 4/22/88 -REVIEW OF DEFERRED SENTENCE - COURT ALLOW THE WITHDRAWAL OF THE GUILTY PLEA AND

	DISMISSES THE CASE.
Broker Statement	THIS CHARGE WAS THE RESULT OF POOR JUDGMENT DURING A COLLEGE PRANK IN 1987, WHEN I WAS A SOPHOMORE IN COLLEGE. THE CHARGE WAS DISMISSED.

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 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	CLIENT ALLEGED THE FA INTRODUCED HIM TO AUCTION RATE SECURITIES AND INDICATED THEY WERE SIMILAR TO MONEY MARKET FUNDS EXCEPT THE SECURITIES WOULD LIQUIDATE EVERY SEVEN DAYS. CLIENT FURTHER STATED HE FELT MISLED INTO BELIEVING THAT HIS FUNDS WOULD REMAIN LIQUID. CLIENT FURTHER ALLEGED THAT HE DOES NOT BELIEVE THE INVESTMENTS WERE EVER DISCUSSED OR APPROVED BY HIM. DAMAGES ARE ESTIMATED TO BE IN EXCESS OF $5,000.
Product Type:	Other: AUCTION RATE SECURITIES
Alleged Damages:	$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE ESTIMATED TO BE IN EXCESS OF $5,000.
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:	08/12/2008
Complaint Pending?	No
Status:	Settled
Status Date:	12/23/2008
Settlement Amount:	$350,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE BREAKDOWN OF THE LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO

OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE RELEVANT REGULATORY BODIES. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.

Disclosure 2 of 4

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	PIPER JAFFRAY & CO.
Allegations:	CLAIMANT ALLEGES UNAUTHORIZED TRADES, UNSUITABLE INVESTMENTS, EXCESSIVE COMMISSIONS, BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, FRAUD, NEGIGLENCE.
Product Type:	Equity - OTC
Alleged Damages:	$215,254.00

Customer Complaint Information

Date Complaint Received:	02/14/2007
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	02/14/2007
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC. CASE. NO. 07-00189
Date Notice/Process Served:	02/14/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/16/2008
Monetary Compensation Amount:	$65,000.00
Individual Contribution Amount:	$0.00
Firm Statement	SETTLEMENT MADE BY UBS FINANCIAL SERVICES.

Reporting Source:	Individual

Employing firm when activities occurred which led to the complaint:	PIPER JAFFRAY & CO.
Allegations:	CLAIMANT ALLEGES BREACH OF FIDUCIARY DUTY, MISREPRESENTATION, NEGLIGENCE, UNAUTHORIZED AND EXCESSIVE TRADING, EXCESSIVE COMMISSIONS AND UNSUITABILITY IN CONNECTION WITH DECEDENT'S PIPER JAFFRAY ACCOUNTS. TIME FRAME: 2000 THROUGH 2006.
Product Type:	Equity-OTC
Alleged Damages:	$215,254.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	NASD
Docket/Case #:	# 07-00189
Date Notice/Process Served:	02/15/2007
Arbitration Pending?	No
Disposition:	Settled
Disposition Date:	05/22/2008
Monetary Compensation Amount:	$65,000.00
Individual Contribution Amount:	$0.00
Broker Statement	THE ADVISOR FULLY DENIED THE CLAIMANT'S ALLEGATIONS IN THEIR ENTIRETY, AS THEY WERE BASELESS. PIPER JAFFRAY, AGAINST THE ADVISOR'S WISHES, AGREED TO SETTLE THE CLAIM TO AVOID FURTHER LEGAL COSTS. THE CLAIMS WERE MADE BY A TRUST ATTORNEY, NOT THE ACTUAL CLIENT. THE ADVISOR WAS NOT ASKED TO CONTRIBUTE TO THE SETTLEMENT IN ANY WAY. IN FACT, THE MAJORITY OF THE CLAIMED DAMAGES WERE FOR MARGIN INTEREST INCURRED WITH A PREVIOUS ADVISOR .

Disclosure 3 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	U.S. BANCORP PIPER JAFFRAY INC.
Allegations:	CLIENT ALLEGES BROKER PLACED UNAUTHORIZED PURCHASE OF 1,000 PGEX ON 1/31/00.
Product Type:	Equity - OTC
Alleged Damages:	$19,000.00

Customer Complaint Information

Date Complaint Received:	06/16/2000
Complaint Pending?	No
Status:	Denied

Status Date:	12/04/2000
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	THIS CUSTOMER COMPLAINT NO LONGER REPORTABLE

Disclosure 4 of 4

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	PIPER JAFFRAY INC.
Allegations:	CLIENT ALLEGES UNSUITABILITY OF INVESTMENTS IN IRA AND UTMA CUSTODIAL ACCOUNTS. DAMAGES SOUGHT IN EXCESS OF $5,000
Product Type:	
Alleged Damages:	

Customer Complaint Information

Date Complaint Received:	07/22/1998
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	NOT PROVIDED NOT PROVIDED

End of Report

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