



IAPD Report

CHRISTOPHER LORENZ STEER

CRD# 2369245

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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 LORENZ STEER (CRD# 2369245)

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 **12/10/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/30/2010
IA	LPL FINANCIAL LLC	CRD# 6413	11/30/2010

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	NRP ADVISORS, INC.	141430	LONG BEACH, CA	02/29/2008 - 11/30/2010
B	NRP FINANCIAL, INC.	103717	LONG BEACH, CA	03/16/2007 - 11/30/2010
IA	NRP FINANCIAL, INC.	103717	LONG BEACH, CA	03/16/2007 - 10/20/2008

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	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 9 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 Representative	Approved	11/30/2010
B Arizona	Agent	Approved	11/30/2010
B California	Agent	Approved	11/30/2010
IA California	Investment Adviser Representative	Approved	11/30/2010
B Massachusetts	Agent	Approved	11/30/2010
B Nevada	Agent	Approved	09/30/2013
B Pennsylvania	Agent	Approved	06/06/2016
B Texas	Agent	Approved	09/23/2022
B Utah	Agent	Approved	10/09/2014
B Virginia	Agent	Approved	11/13/2014
B Washington	Agent	Approved	11/30/2010

Branch Office Locations

LPL FINANCIAL LLC
500 N BRAND BLVD SUITE 1250
GLENDALE, CA 91203



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
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No information reported.



General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	08/26/1993
 General Securities Representative Examination (S7)	Series 7	07/23/1993

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	12/16/2004
 Uniform Securities Agent State Law Examination (S63)	Series 63	07/29/1993

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	02/29/2008 - 11/30/2010	NRP ADVISORS, INC.	CRD# 141430	LONG BEACH, CA
B	03/16/2007 - 11/30/2010	NRP FINANCIAL, INC.	CRD# 103717	LONG BEACH, CA
IA	03/16/2007 - 10/20/2008	NRP FINANCIAL, INC.	CRD# 103717	LONG BEACH, CA
B	05/27/2005 - 03/20/2007	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	IRVINE, CA
IA	05/27/2005 - 03/20/2007	H&R BLOCK FINANCIAL ADVISORS, INC.	CRD# 5979	IRVINE, CA
IA	06/09/2004 - 06/02/2005	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG BEACH, CA
B	05/02/2003 - 06/02/2005	CITICORP INVESTMENT SERVICES	CRD# 23988	LONG ISLAND CITY, NY
IA	05/13/2003 - 05/21/2003	WACHOVIA SECURITIES, INC.	CRD# 19616	NEWPORT BEACH, CA
B	06/11/2001 - 05/21/2003	WACHOVIA SECURITIES, INC.	CRD# 19616	ST. LOUIS, MO
B	01/29/1999 - 06/18/2001	UBS PAINWEBBER INC.	CRD# 8174	WEEHAWKEN, NJ
B	07/08/1996 - 02/04/1999	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	NEW YORK, NY
B	07/26/1993 - 08/01/1996	DEAN WITTER REYNOLDS INC.	CRD# 7556	PURCHASE, 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
11/2010 - Present	LPL FINANCIAL LLC	Registered Representative	Y	GLENDALE, CA, 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. 10/15/2010 - Salazar, Steer, Thomasy, Ulrich Group - INV REL - AT REPORTED LOCATION - DBA for LPL Business (entity for LPL business)
2. 11/01/2010 - ENTITY FOR TAX/ACCOUNTING PURPOSES - SALAZAR & STEER GROUP - LLC IS USED STRICTLY FOR ACCOUNTING PURPOSES. - TIME SPENT 1%.



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	2

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

Organization Name (if charge(s) were brought against an organization over which individual exercised control): N/A

Court Details: SUPERIOR COURT COUNTY OF RIVERSIDE DESERT BRANCH 46-200 OASIS STREET INDIO CALIFORNIA 92201.

Charge Date: 04/04/1985

Charge Details: 1 - COUNT OF PENAL CODE 537 - DEFRAUDING AN INNKEEPER LESS THAN \$400.00 WAS THE FORMAL CHARGE.

Felony? No

Current Status: Final

Status Date: 04/04/1985

Disposition Details: CONVICTED OF 1 - COUNT OF PENAL CODE 537 - DEFRAUDING INNKEEPER LESS THAN \$400 ON 4/4/85. WAS SENTENCED ON 5/3/85 TO 6 MONTHS PROBATION AND A FINE THAT WAS PAID ON 5/3/85. THE AMOUNT OF THE FINE IS UNKNOWN AND IS NOT ON THE RECORD.

Broker Statement I WAS 18 YEARS OLD AND WAS IN PALM SPRINGS CALIFORNIA WITH THREE FRIENDS DURING OUR COLLEGE SPRING BREAK. AGAINST OUR BETTER JUDGEMENT WE ELECTED TO "DINE AND DASH" THE RESTAURANT, WHICH RESULTED IN MY MISDEMEANOR CONVICTION.



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: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANTS ALLEGE NEGLIGENCE, FRAUD, BREACH OF FIDUCIARY DUTY, AND UNSUITABILITY IN CONNECTION WITH UNSPECIFIED EQUITIES IN THEIR UBS ACCOUNTS.

Product Type: Equity - OTC

Alleged Damages: \$450,000.00

Customer Complaint Information

Date Complaint Received: 10/23/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/10/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE #03-07613

Date Notice/Process Served: 11/10/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/28/2004

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Firm Statement UBS FINANCIAL SERVICES PAID \$25,000 OF THE TOTAL SETTLEMENT AND WACHOVIA SECURITIES PAID \$25,000 FOR A TOTAL OF \$50,000.

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Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: WACHOVIA SECURITIES, LLC.

Allegations: CLIENTS ALLEGE UNSUITABLE PERCENTAGES OF THEIR ACCOUNTS WERE INVESTED IN EQUITIES, INCLUDING CLASS B EQUITY MUTUAL FUND SHARES. CLAIMED DAMAGES OF \$450,000.00.

Product Type: Mutual Fund(s)

Alleged Damages: \$450,000.00

Customer Complaint Information

Date Complaint Received: 11/10/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 11/10/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DR CASE #03-07613

Date Notice/Process Served: 11/10/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/28/2004

Monetary Compensation Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Firm Statement SETTLED.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: UBS PAINE WEBBER & WACHOVIA

Allegations: CLAIMANTS ALLEGE NEGLIGENCE, FRAUD, BREACH OF FIDUCIARY DUTY AND UNSUITABILITY.

Product Type: Equity - OTC

Alleged Damages: \$450,000.00

Customer Complaint Information

Date Complaint Received: 10/23/2003

Complaint Pending? No

Status: Arbitration/Reparation



Status Date: 10/23/2003

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: #03-7613

Date Notice/Process Served: 10/23/2003

Arbitration Pending? No

Disposition: Settled

Disposition Date: 10/28/2004

Monetary Compensation Amount: \$50,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES INC.

Allegations: CLAIMANT ALLEGES FRAUD, MISREPRESENTATION, EXCESSIVE, UNSUITABLE AND UNAUTHORIZED TRADING, NEGLIGENCE AND FAILURE TO SUPERVISE.

Product Type: Equity - OTC

Alleged Damages: \$350,000.00

Customer Complaint Information

Date Complaint Received: 04/01/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/01/2002

Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD - DOCKET # 02-01709

Date Notice/Process Served: 04/01/2002

Arbitration Pending? No

Disposition: Settled



Disposition Date: 10/06/2003
Monetary Compensation Amount: \$20,000.00
Individual Contribution Amount: \$0.00

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Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: UBS PAINWEBBER INC

Allegations: CLAIMANT ALLEGES FRAUD, MISREPRESENTATION, EXCESSIVE, UNSUITABLE AND UNAUTHORIZED TRADING, NEGLIGENCE AND FAILURE TO SUPERVISE.

Product Type: Equity - OTC

Alleged Damages: \$350,000.00

Customer Complaint Information

Date Complaint Received: 04/01/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 04/01/2002

Settlement Amount:
Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD-DOCKET #02-01709
Date Notice/Process Served: 04/01/2002
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/06/2003
Monetary Compensation Amount: \$20,000.00
Individual Contribution Amount: \$0.00



End of Report

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