IAPD Report

CHRISTOPHER ALAN BRENNEN

CRD# 2424512

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 ALAN BRENNEN (CRD# 2424512)

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 **04/08/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/10/2025
IA	LPL FINANCIAL LLC	CRD# 6413	07/10/2025

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **10** 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	CADARET GRANT & CO INC	10641	New Hartford, NY	09/30/2021 - 07/10/2025
B	CADARET, GRANT & CO., INC.	10641	New Hartford, NY	09/30/2021 - 07/10/2025
IA	WELLS FARGO CLEARING SERVICES, LLC	19616	CLINTON, NY	06/26/2017 - 08/26/2021

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
Criminal	1
Customer Dispute	2
Termination	1

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 **10** 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	07/10/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	07/10/2025
B	Arizona	Agent	Approved	07/10/2025
B	Delaware	Agent	Approved	07/10/2025
B	Florida	Agent	Approved	07/11/2025
B	Maryland	Agent	Approved	04/29/2026
B	New Mexico	Agent	Approved	07/10/2025
B	New York	Agent	Approved	07/10/2025
IA	New York	Investment Adviser Representative	Approved	07/10/2025
B	Ohio	Agent	Approved	08/07/2025
B	Pennsylvania	Agent	Approved	03/30/2026
B	Texas	Agent	Approved	10/29/2025
B	Virginia	Agent	Approved	07/10/2025

Qualifications

Branch Office Locations

LPL FINANCIAL LLC
9 OXFORD ROAD
NEW HARTFORD, NY 13413

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, 4 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	04/28/1999
B	General Securities Representative Examination (S7)	Series 7	02/23/1995
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	11/18/1993

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	04/26/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	06/06/1994

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	09/30/2021 - 07/10/2025	CADARET GRANT & CO INC	CRD# 10641	New Hartford, NY
B	09/30/2021 - 07/10/2025	CADARET, GRANT & CO., INC.	CRD# 10641	New Hartford, NY
IA	06/26/2017 - 08/26/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CLINTON, NY
B	06/23/2017 - 08/26/2021	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	CLINTON, NY
B	09/21/2016 - 07/11/2017	KEY INVESTMENT SERVICES LLC	CRD# 136300	WHITESTOWN, NY
IA	09/21/2016 - 12/31/2016	KEY INVESTMENT SERVICES LLC	CRD# 136300	WHITESTOWN, NY
B	05/15/2012 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	NEW HARTFORD, NY
IA	05/15/2012 - 09/21/2016	LPL FINANCIAL LLC	CRD# 6413	NEW HARTFORD, NY
IA	03/30/2010 - 05/15/2012	HSBC SECURITIES (USA) INC.	CRD# 19585	WHITESBORO, NY
B	03/24/2010 - 05/15/2012	HSBC SECURITIES (USA) INC.	CRD# 19585	WHITESBORO, NY
IA	10/15/2007 - 03/19/2010	CCO INVESTMENT SERVICES CORP.	CRD# 39550	DERUYTER, NY
B	07/12/2007 - 03/19/2010	CCO INVESTMENT SERVICES CORP.	CRD# 39550	DERUYTER, NY
B	01/08/2003 - 07/31/2007	LINSCO/PRIVATE LEDGER CORP.	CRD# 6413	CLINTON, NY
B	04/09/1999 - 12/05/2002	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	02/08/1995 - 04/13/1999	FLAGSHIP SECURITIES, INC.	CRD# 7123	SYRACUSE, NY
B	11/19/1993 - 09/21/1994	PRUCO SECURITIES CORPORATION	CRD# 5685	NEWARK, NJ

Registration & Employment History

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
07/2025 - Present	LPL FINANCIAL LLC	Registered Representative	Y	New Hartford, NY, United States
09/2021 - 07/2025	Cadaret, Grant & Co., Inc.	RR/IAR	Y	New Hartford, NY, United States
06/2017 - 08/2021	Wells Fargo Clearing Services LLC	Registered Rep	Y	New Hartford, NY, United States
09/2016 - 06/2017	KEY INVESTMENT SERVICES LLC	FINANCIAL ADVISOR	Y	WHITESTOWN, NY, United States
04/2012 - 09/2016	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	WHITESBORO, NY, 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. 07/10/2025- Sedgwick Wealth Partners- DBA for LPL Business (entity for LPL business)- INV Related- At Reported Business Location(s)- Start date 02/01/2024- 160 Hours Per Month- 160 Hours During Trading
2. 07/10/2025- Christopher A. Brennen-Non-Variable Insurance- INV Related- At Reported Business Location(s)- Start date 11/01/1999- 1 Hour Per Month- 1 Hour During 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
Criminal	1
Customer Dispute	2
Termination	1

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
If charge(s) were brought against an organization over which individual exercised control:	
Organization Name:	
Investment Related Business:	No
Position:	
Formal Charges were brought in:	State Court
Name of Court:	Oneida County Court
Location of Court:	Utica, New York U.S.A.
Docket/Case #:	S 2021-015
Charge Date:	02/24/2021
Charge(s) 1 of 2	
Formal Charge(s)/Description:	I was charged with Aggravated Operating a Motor Vehicle While Under the Influence of Alcohol in violation of Section 1192, Subdivision 2 (a), of the Vehicle and Traffic Law of State of New York.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Guilty

Disposition of charge:	Deferred Adjudication
Date of Amended Charge:	08/26/2021
Charge was Amended or reduced to:	The court agreed to remove the felony information, thereby converting the matter to a misdemeanor. I plead guilty to the misdemeanor aggravated DWI charge.
Amended No of Counts:	1
Amended Charge:	Misdemeanor
Amended Plea:	Guilty
Disposition of Amended Charge:	Convicted of VTL 1192 misdemeanor.
Charge(s) 2 of 2	
Formal Charge(s)/Description:	I was charged with Operating a Motor Vehicle While Under the Influence of Alcohol in violation of Section 1192, subdivision 3, of the Vehicle and Traffic Law of the State of New York.
No of Counts:	1
Felony or Misdemeanor:	Felony
Plea for each charge:	Not guilty
Disposition of charge:	Dismissed
Date of Amended Charge:	02/24/2021
Charge was Amended or reduced to:	The charge was dropped as a result of my plea agreement on the aggravated DWI
Amended No of Counts:	1
Amended Charge:	dismissed
Amended Plea:	Not guilty
Disposition of Amended Charge:	Dismissed
Current Status:	Final
Status Date:	04/14/2022
Disposition Date:	04/14/2022
Sentence/Penalty:	4/14/2022 Sentenced to misdemeanor VTL 1192; fined $1,500; probation 3 years; driver's license revoked for 1 year; Ignition interlock device for 1 year.

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:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL, LLC
Allegations:	FAILURE TO DISCLOSE FEES; MISREPRESENTATION.
Product Type:	Annuity-Variable
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES UNSPECIFIED BUT REASONABLY DETERMINED TO BE GREATER THAN $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:	11/23/2015
Complaint Pending?	No
Status:	Denied
Status Date:	04/12/2016
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LINSCO / PRIVATE LEDGER CORP.
Allegations:	CUSTOMER BELIEVES 1/2004 RECOMMENDATION FOR FRANKLIN TEMPLETON INCOME FUND WAS UNSUITABLE AND THAT HE DID NOT RECEIVE COMPLETE INFORMATION FOR INVESTMENT. CUSTOMER REQUESTS REIMBURSEMENT OF LOSSES. REPRESENTATIVE MAINTAINS THAT COMPLETE AND ACCURATE INFORMATION WAS PROVIDED TO CUSTOMER AND THAT RECOMMENDATION WAS SUITABLE, GIVEN CUSTOMER'S GOALS AND OBJECTIVES.
Product Type:	Mutual Fund

Alleged Damages:	$8,782.83
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:	07/07/2004
Complaint Pending?	No
Status:	Settled
Status Date:	01/28/2010
Settlement Amount:	$3,575.00
Individual Contribution Amount:	$0.00
Broker Statement	THE FIRM SETTLED THIS MATTER WITH NO ADMISSION OF LIABILITY (WHICH WAS AND REMAINED DENIED AT ALL TIMES), AND SOLEY AS A BUSINESS DECISION AND CUSTOMER ACCOMMODATION.

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:	WELLS FARGO CLEARING SERVICES, LLC
Termination Type:	Discharged
Termination Date:	08/06/2021
Allegations:	Financial advisor was discharged after FINRA notified the Firm that it determined advisor was statutorily disqualified from continued association with the Firm. Disqualification not linked to securities activities of the FA or the Firm.
Product Type:	No Product

Reporting Source:	Individual
Firm Name:	Wells Fargo Clearing Services, LLC
Termination Type:	Discharged
Termination Date:	08/06/2021
Allegations:	Financial advisor was discharged after FINRA notified the Firm that it determined advisor was statutorily disqualified from continued association with the Firm. Disqualification not linked to securities activities of the FA or the Firm
Product Type:	No Product

End of Report

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