



IAPD Report

CHRISTOPHER RONALD DIGREGORIO

CRD# 2754779

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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

CHRISTOPHER RONALD DIGREGORIO (CRD# 2754779)

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 **03/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/08/2019
IA	AMERIPRISE FINANCIAL SERVICES, LLC	CRD# 6363	11/08/2019

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **28** 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
B	JANNEY MONTGOMERY SCOTT LLC	463	EDISON, NJ	02/26/2015 - 12/18/2019
IA	JANNEY MONTGOMERY SCOTT LLC	463	EDISON, NJ	02/26/2015 - 12/18/2019
IA	OPPENHEIMER & CO. INC.	249	FLORHAM PARK, NJ	07/15/2008 - 02/20/2015

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
Customer Dispute	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 **28** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**
Main Address: 901 3RD AVENUE SOUTH
MINNEAPOLIS, MN 55402
Firm ID#: 6363

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/08/2019
B	California	Agent	Approved	11/08/2019
B	Colorado	Agent	Approved	12/12/2022
B	Connecticut	Agent	Approved	11/27/2020
B	Delaware	Agent	Approved	03/22/2023
IA	Delaware	Investment Adviser Representative	Approved	03/22/2023
B	Florida	Agent	Approved	11/08/2019
B	Georgia	Agent	Approved	05/20/2021
B	Idaho	Agent	Approved	03/24/2025
B	Illinois	Agent	Approved	05/05/2025
B	Indiana	Agent	Approved	07/30/2025
B	Kentucky	Agent	Approved	02/17/2025
B	Louisiana	Agent	Approved	09/27/2024



Qualifications

Regulator	Registration	Status	Date
B Maryland	Agent	Approved	09/10/2025
B Massachusetts	Agent	Approved	09/24/2025
B Michigan	Agent	Approved	11/06/2025
B Missouri	Agent	Approved	01/21/2026
B New Hampshire	Agent	Approved	09/05/2025
B New Jersey	Agent	Approved	11/08/2019
IA New Jersey	Investment Adviser Representative	Approved	11/08/2019
B New York	Agent	Approved	11/08/2019
B North Carolina	Agent	Approved	07/05/2024
B Oregon	Agent	Approved	11/14/2023
B Pennsylvania	Agent	Approved	11/08/2019
B Rhode Island	Agent	Approved	09/19/2025
B South Carolina	Agent	Approved	10/03/2022
B Tennessee	Agent	Approved	02/05/2025
B Texas	Agent	Approved	06/15/2021
IA Texas	Investment Adviser Representative	Restricted Approval	06/16/2021
B Vermont	Agent	Approved	09/12/2025
B Virginia	Agent	Approved	05/06/2025



Qualifications

Regulator	Registration	Status	Date
B Washington	Agent	Approved	02/03/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
101 Crawfords Corner Rd
Ste 1311
Holmdel, NJ 07733

AMERIPRISE FINANCIAL SERVICES, LLC
Freehold, NJ



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
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B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
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B General Securities Representative Examination (S7)	Series 7	08/22/1996
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State Securities Law Exams

Exam	Category	Date
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IA Uniform Investment Adviser Law Examination (S65)	Series 65	04/17/2012
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B Uniform Securities Agent State Law Examination (S63)	Series 63	09/03/1996
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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
B	02/26/2015 - 12/18/2019	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	EDISON, NJ
IA	02/26/2015 - 12/18/2019	JANNEY MONTGOMERY SCOTT LLC	CRD# 463	EDISON, NJ
IA	07/15/2008 - 02/20/2015	OPPENHEIMER & CO. INC.	CRD# 249	FLORHAM PARK, NJ
B	07/14/2008 - 02/20/2015	OPPENHEIMER & CO. INC.	CRD# 249	FLORHAM PARK, NJ
IA	04/07/2008 - 07/14/2008	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	ROSELAND, NJ
B	04/24/2007 - 07/14/2008	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	ROSELAND, NJ
B	07/02/2004 - 04/24/2007	RYAN BECK & CO.	CRD# 3248	ROSELAND, NJ
B	03/07/2003 - 07/26/2004	RBC DAIN RAUSCHER INC.	CRD# 31194	NEW YORK, NY
B	04/16/2001 - 03/07/2003	FIRST INSTITUTIONAL SECURITIES, L.L.C.	CRD# 23910	WEST PATERSON, NJ
B	12/10/1997 - 01/29/1998	FIRST LIBERTY INVESTMENT GROUP, INC.	CRD# 3536	PHILADELPHIA, PA
B	08/23/1996 - 10/30/1997	WILLIAM SCOTT & CO. L.L.C.	CRD# 14979	UNION, 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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Holmdel, NJ, United States
11/2019 - 03/2020	AMERIPRISE FINANCIAL SERVICES, INC	Registered Representative	Y	East Brunswick, NJ, United States
02/2015 - 11/2019	JANNEY MONTGOMERY SCOTT LLC	FINANCIAL ADVISOR	Y	EDISON, NJ, 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.

Business Ownership; DGAM LLC; Setting up an LLC to pay for franchise operating expenses including payroll, rent, office supplies, office upgrades, and phones.; Scorp established for franchise to monthly pay operating expenses.; 17 Topanemus Lane, , Freehold, NJ, 07728; Investment-Related; 02/01/2022; 1 to 9 hours per month; 1 to 9 during trading hours / Xcelerate Growth LLC; Co-owner; Manage Ameriprise Business; 101 Crawford's Corner Road, Suite 1311, Holmdel, NJ, 07733; Investment-Related; 07/30/2025; 10 to 19 hours per month; 1 to 9 during trading hours. Outside Employment; DGAM LLC; Owner; Retail; 17 Topanemus Lane, , Freehold, NJ, 07728; Investment-Related; 01/01/2024; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; Office Rental; space designated for office rental and staff; 101 Crawford's Corner Road, , Holmdel, NJ, 07733; Not Investment-Related; 03/01/2022; 0 hours per month; 1 to 9 during trading hours.



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
Customer Dispute	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: 01/03/2001

Docket/Case Number: C9B000042

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

Product Type: Other

Other Product Type(s):

Allegations: NASD RULE 2110 - RESPONDENT EXECUTED UNAUTHORIZED TRANSACTIONS IN THE ACCOUNTS OF A PUBLIC CUSTOMER.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/05/2001

Sanctions Ordered: Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPNEDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY



CAPACITY FOR 10 BUSINESS DAYS. ** THE SUSPENSION IS EFFECTIVE
APRIL 2, 2001 TO APRIL 16, 2001.

Reporting Source: Individual

Regulatory Action Initiated By: NASDR

Sanction(s) Sought: Suspension

Other Sanction(s) Sought: \$7,500 FINE

Date Initiated: 01/03/2001

Docket/Case Number: C9B000042

Employing firm when activity occurred which led to the regulatory action: WILLIAM SCOTT & CO., L.L.C.

Product Type: Equity - OTC

Other Product Type(s):

Allegations: FOUR TRADES ALLEGED TO HAVE BEEN UNAUTHORIZED.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/05/2001

Sanctions Ordered: Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details: SUSPENDED TEN (10) DAYS FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY COMMENCING ON APRIL 2, 2001 AND FINED \$7500 TO BE PAID UPON REQUEST OF CLAIMANT

Broker Statement THE OFFER OF SETTLEMENT WAS SUBMITTED AND THE SANCTIONS ACCEPTED DUE TO THE EXPENSE OF ATTORNEY'S FEES AND RELATED COSTS AND TO A LACK OF PROPER MAINTENANCE OF DOCUMENTATION BY THE WILLIAM SCOTT & CO. VITAL TO A DEFENSE AGAINST THE ALLEGATIONS.



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:	Individual
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLAIMANTS ALLEGE THEIR BROKER MADE UNSUITABLE INVESTMENT RECOMMENDATIONS DURING AN UNSPECIFIED TIME PERIOD AND DID NOT DISCLOSE THE RISKS ASSOCIATED WITH TRADING ON MARGIN DURING 2009 - 2011.
Product Type:	Debt-Government
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIM FOR DAMAGES IS OVER \$100,000. BUT NO SPECIFIC AMOUNT IS ALLEGED.
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	12-00815
Filing date of arbitration/CFTC reparation or civil litigation:	03/05/2012

Customer Complaint Information

Date Complaint Received:	03/12/2012
Complaint Pending?	No
Status:	Settled
Status Date:	10/22/2012
Settlement Amount:	\$56,250.00
Individual Contribution Amount:	\$25,000.00



End of Report

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