



IAPD Report

CHRISTOPHER JON SWENSON

CRD# 2794756

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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 JON SWENSON (CRD# 2794756)

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 **09/08/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	07/29/2013
IA	CORNERSTONE WEALTH MANAGEMENT, LLC	CRD# 164666	08/05/2013

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **31** 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	LPL FINANCIAL LLC	6413	FORT MILL, SC	08/28/2025 - 09/08/2025
IA	EDWARD JONES	250	TOWN & COUNTRY, MO	02/11/1999 - 07/30/2013
B	EDWARD JONES	250	TOWN & COUNTRY, MO	11/04/1996 - 07/30/2013

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

Employment 1 of 2

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

	Regulator	Registration	Status	Date
	FINRA	General Securities Representative	Approved	07/29/2013
	Alabama	Agent	Approved	11/22/2019
	Arizona	Agent	Approved	03/11/2015
	Arkansas	Agent	Approved	07/29/2013
	California	Agent	Approved	07/29/2013
	Colorado	Agent	Approved	07/11/2018
	Florida	Agent	Approved	07/29/2013
	Georgia	Agent	Approved	09/12/2014
	Idaho	Agent	Approved	08/08/2018
	Illinois	Agent	Approved	07/29/2013
	Indiana	Agent	Approved	09/13/2013
	Iowa	Agent	Approved	08/15/2014
	Kansas	Agent	Approved	07/11/2018



Qualifications

	Regulator	Registration	Status	Date
B	Kentucky	Agent	Approved	08/28/2014
B	Louisiana	Agent	Approved	08/07/2018
B	Massachusetts	Agent	Approved	07/11/2018
B	Michigan	Agent	Approved	11/22/2013
B	Minnesota	Agent	Approved	09/15/2015
B	Mississippi	Agent	Approved	07/11/2018
B	Missouri	Agent	Approved	07/29/2013
B	Montana	Agent	Approved	12/09/2015
B	Nebraska	Agent	Approved	01/15/2019
B	New Jersey	Agent	Approved	07/11/2018
B	New Mexico	Agent	Approved	07/11/2018
B	North Carolina	Agent	Approved	01/14/2021
B	Oklahoma	Agent	Approved	10/26/2023
B	Pennsylvania	Agent	Approved	08/14/2013
B	South Carolina	Agent	Approved	07/29/2013
B	Tennessee	Agent	Approved	07/11/2018
B	Texas	Agent	Approved	10/18/2016
B	Virginia	Agent	Approved	01/13/2021
B	Washington	Agent	Approved	07/29/2013



Qualifications

Regulator	Registration	Status	Date
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Branch Office Locations

LPL FINANCIAL LLC

13358 MANCHESTER RD STE 200
DES PERES, MO 63131

LPL FINANCIAL LLC

820 E. 6TH ST
WASHINGTON, MO 63090

Employment 2 of 2

Firm Name: **CORNERSTONE WEALTH MANAGEMENT, LLC**

Main Address: 7417 MEXICO ROAD
SUITE 104
ST. PETERS, MO 63376

Firm ID#: 164666

Regulator	Registration	Status	Date
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IA	Missouri	Investment Adviser Representative	Approved	08/05/2013
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IA	Texas	Investment Adviser Representative	Restricted Approval	08/05/2013
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Branch Office Locations

CORNERSTONE WEALTH MANAGEMENT, LLC

13358 MANCHESTER RD
SUITE 200
DES PERES, MO 63131

CORNERSTONE WEALTH MANAGEMENT, LLC

820 E. 6th Street
Washington, MO 63090



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 1 state securities law exam.

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 General Securities Representative Examination (S7)	Series 7	11/01/1996

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination (S63)	Series 63	11/06/1996



PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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	08/28/2025 - 09/08/2025	LPL FINANCIAL LLC	CRD# 6413	FORT MILL, SC
IA	02/11/1999 - 07/30/2013	EDWARD JONES	CRD# 250	TOWN & COUNTRY, MC
B	11/04/1996 - 07/30/2013	EDWARD JONES	CRD# 250	TOWN & COUNTRY, MC

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
07/2013 - Present	CORNERSTONE WEALTH MANAGEMENT, LLC	INVESTMENT ADVISER REPRESENTATIVE	Y	DES PERES, MO, United States
07/2013 - Present	LPL FINANCIAL LLC	REGISTERED REPRESENTATIVE	Y	DES PERES, MO, 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. 05/20/2013 - Cornerstone Wealth Management - INV REL - AT REPORTED LOCATION - DBA for LPL Business (entity for LPL business) - 50%TIME SPENT
2. 05/20/2015 - SWENSON INVESTMENTS LLC - BUSINESS ENTITY FOR TAX/INVESTMENT PURPOSES ONLY - INV REL - 13358 MANCHESTER ROAD - SUITE 200, DES PERES, MO 63131 - START 07/15/2013 - 1 HR/MO DURING SECS TRDG HRS
3. 02/01/2016 - Cornerstone Wealth Management LLC - REGISTERED INVESTMENT ADVISOR - (HYBRID) CORNERSTONE WEALTH MANAGEMENT - (HYBRID) PROVIDE FINANCIAL PLANNING AND ASSET MANAGEMENT FOR A FEE - 40% OF TIME SPENT - DES PERES, MO
4. 4/30/2018 - Captain Asset Management LLC - Not Investment Related - 416 Elm Street, Washington, MO 63090 - Business Entity For Tax/Investment Purposes Only - Start Date:06/01/2018 - 80 Hour(s) Per Month/80 Hour(s) During Trading.
5. 6/28/2018 - Cornerstone Wealth Management - DBA: Steamboat Financial Group - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Start Date:06/08/2018 - 40 Hours Per Month/40 Hours During Trading - I provide investment advisory services through Cornerstone Wealth Management, LLC, an independent investment advisor firm. I started this business activity on 6/28/2018. I expect to spend approximately 160 hours/month on this activity. Please see the advisory firms Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

6. 8/1/2018 - Steamboat Financial Group - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date:07/02/2018 - 80 Hours Per Month/80 Hours During Securities Trading.
7. 2/14/2023 - Cornerstone Wealth Portfolios - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Start Date - 2/1/2023 - 40 Hours Per Month/40 Hours During Securities Trading
8. 2/23/2023 - Brokers Service Marketing Group - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date - 02/06/2023 - 4 Hours Per Month/4 Hours During Securities Trading
- 9) 03/28/2025 - Swenfelters LLC - Investment Related - Oxford MS - Real Estate Rental - Start Date:02/14/2024 - 1 Hrs/Mth - 0 Hrs 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
Customer Dispute	1

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: EDWARD JONES

Allegations: CLIENTS' ATTORNEY ALLEGES THAT PURCHASES IN CLIENTS' MARGIN ACCOUNT WERE NOT SUITABLE, MARGIN ACCOUNT WAS CHURNED BY IR, VIOLATIONS OF REGULATION T OCCURRED, AND THE FIRM FAILED TO ADEQUATELY SUPERVISE THE IR. TIMEFRAME FOR ALLEGATIONS APPEARS TO BE FROM 1999 TO 2001. ALLEGED LOSSES EXCEED \$5,000.

Product Type: Other

Alleged Damages: \$5,000.00

Customer Complaint Information

Date Complaint Received: 04/01/2003

Complaint Pending? No

Status: Denied

Status Date: 05/16/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement REVIEW OF CUSTS' ACCT INDICATED THAT 12/99 VALUE OF INVSTMTS WAS \$687,959.89. VALUE REFERENCED BY CUSTS' ATTY, \$421,666.04, IS ACCT VALUE ADJUSTING OUT LOAN BALANCE OF \$266,293.85. LOAN/EQUITY RATIO WAS WELL W/IN GUIDELINES DICTATED ON MRGN ACCTS.IR STATED



HE NEVER RECOMMENDED CUSTS UTILIZE MRGN & REPEATEDLY INFORMED CUSTS OF RISKS ASSOCIATED W/ACTIVITY.ACCORDING TO IR, CUSTS WANTED TO BE EXTREMELY AGGRESIVE IN STK PURCHASES FROM THEIR INITIAL MTG.OUR RECORDS REFLECT INVSTMT OBJECTIVES FOR ACCT WERE GROWTH & AGGRESSIVE GROWTH.IR STATED HE CAUTIONED BOTH CUSTS OF RISKS OF BEING OVERCONCENTRATED IN TOO FEW STKS, OF BEING INVESTED PRIMARILY IN ONE INDUSTRY (TECH) & OF HOLDING STKS ON MRGN.BUY ACKNWLDGMT LTRS WERE EXECUTED BY CUSTS.THESE LTRS REFLECT UNDERSTANDING OF CUSTS AS TO RISKS ASSOCIATED W/HOLDING A SUBSTANTIAL PORTION OF THEIR NET WORTH IN ONE INVSTMT & STATE CUSTS MADE DECISION TO MAINTAIN LARGE HOLDINGS & DO NOT HOLD FIRM OR IR RESPONSIBLE FOR ANY LOSS RESULTING FROM DECISION.CUSTS EXECUTED ACKNWLDGMT LTR/REPOSITION OF ASSETS REFLECTING SELL OF TENET HEALTH CARE & GUIDANT CORP.TO PURCHASE AOL ON 4/9/01.IR STATED MAJORITY OF TRDS WERE MADE AGNST IR'S EXPRESS RECOMMENDATIONS & WERE NOT SOLICITED BY IR. TRANSACTIONS ARE REVWD THROUGH OUR SPRVSN SYSTEMS & ADDITIONALLY, IN THIS CASE, MANUAL REVWS.LTR WAS SENT TO CUSTS FROM OUR FIELD SPRVSN DEPT ON 12/21/00.LTR WAS SENT TO ENSURE CUSTS WERE AWARE OF TRD ACTIVITY IN ACCT AS WELL AS OPINION OF FIRM REGARDING ACTIVITY.ADDITIONALLY, THIS LETTER IS PROVIDED TO ALLOW CUST TO VIEW ACCT INFO AND RQST ANY CHANGES. NO CHGS WERE RQSTD BY CUST ON ACCT INFO, INCLUDING INVSTMT OBJECTIVES, NOR WERE CONCERNS REGARDING ACTIVITY EXPRESSED TO THE FIRM AT THAT TIME. BASED ON OUR REVIEW, IT APPEARS MARGIN ACTIVITY WAS HANDLED APPROPRIATELY BY FIRM. FURTHER, IT APPEARS CUSTS WERE FULLY AWARE OF RISKS ASSOCOCIATED WITH ACTIVITY IN THEIR ACCT, WERE CAUTIONED AGNST SAID ACTIVITY & ACKNWLDGD THEIR UNDERSTANDING OF RISKS. CLAIM DENIED.



End of Report

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