



## IAPD Report

# CHRISTOPHER BRIAN JONES

CRD# 2867623

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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 BRIAN JONES (CRD# 2867623)

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 **06/13/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>IA</b>	ARLINGTON SECURITIES, INC	CRD# 19596	04/18/2024
<b>B</b>	ARLINGTON SECURITIES, INC.	CRD# 19596	04/19/2024

### 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
<b>B</b>	ARETE WEALTH MANAGEMENT, LLC	44856	CHICAGO, IL	12/14/2023 - 04/09/2024
<b>IA</b>	ARETE WEALTH ADVISORS, LLC	145488	St. Louis, MO	07/20/2023 - 04/09/2024
<b>B</b>	CENTER STREET SECURITIES, INC.	26898	Town and Country, MO	08/29/2018 - 11/30/2023

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	2
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 **10** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ARLINGTON SECURITIES, INC**  
Main Address: ST LOUIS, MO  
Firm ID#: 19596

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	04/19/2024
B	FINRA	General Securities Representative	Approved	04/19/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	04/19/2024
B	FINRA	Investment Co./Variable Contracts Prin	Approved	04/19/2024
B	Arizona	Agent	Approved	04/19/2024
B	California	Agent	Approved	04/19/2024
B	Colorado	Agent	Approved	09/05/2025
B	Florida	Agent	Approved	06/24/2025
B	Georgia	Agent	Approved	04/19/2024
B	Illinois	Agent	Approved	05/22/2024
B	Kansas	Agent	Approved	05/10/2024
B	Michigan	Agent	Approved	04/19/2024
IA	Missouri	Investment Adviser Representative	Approved	04/18/2024
B	Missouri	Agent	Approved	04/19/2024



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Ohio	Agent	Approved	04/22/2024

### Branch Office Locations

**ARLINGTON SECURITIES, INC**  
14323 S Outer 40 Dr  
Saint Louis, MO 63017

**ARLINGTON SECURITIES, INC**  
14323 S OUTER 40 STE 210 NORTH  
SAINT LOUIS, MO 63017





## 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 2 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.**




#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	09/28/2015
 Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	02/06/2008

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	03/12/2010
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	10/22/1997

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	07/07/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	08/13/1999

### 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	12/14/2023 - 04/09/2024	ARETE WEALTH MANAGEMENT, LLC	CRD# 44856	CHICAGO, IL
IA	07/20/2023 - 04/09/2024	ARETE WEALTH ADVISORS, LLC	CRD# 145488	St. Louis, MO
B	08/29/2018 - 11/30/2023	CENTER STREET SECURITIES, INC.	CRD# 26898	Town and Country, MO
IA	12/19/2018 - 07/11/2023	CENTER STREET ADVISORS, INC.	CRD# 169329	St Louis, MO
IA	07/08/2016 - 08/04/2017	1ST GLOBAL ADVISORS INC	CRD# 111133	St Louis, MO
B	07/08/2016 - 08/04/2017	1ST GLOBAL CAPITAL CORP.	CRD# 30349	St Louis, MO
B	09/24/2014 - 06/23/2016	METLIFE SECURITIES, INC	CRD# 14251	ST. LOUIS, MO
IA	03/16/2012 - 07/28/2014	METLIFE SECURITIES INC.	CRD# 14251	ST. LOUIS, MO
B	11/16/2004 - 07/28/2014	METLIFE SECURITIES INC.	CRD# 14251	ST. LOUIS, MO
B	11/16/2004 - 07/09/2007	METROPOLITAN LIFE INSURANCE COMPANY	CRD# 4095	CHESTERFIELD, MO
B	10/23/1997 - 11/16/2004	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	MILWAUKEE, WI
B	03/21/1999 - 01/01/2002	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	MILWAUKEE, WI

#### 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
04/2024 - Present	Arlington Securities Inc	Registered Representative	Y	Saint Louis, MO, United States
11/2023 - 04/2024	Arete Wealth Advisors, LLC	Investment Advisor Representative	Y	Chicago, IL, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2023 - 04/2024	Arete Wealth Management, LLC	Registered Representative	Y	Chicago, IL, United States
03/2018 - 04/2024	INSPERITY	HR OUTSOURCING	N	ST. LOUIS, MO, United States
08/2018 - 11/2023	CENTER STREET ADVISORS	INVESTMENT ADVISOR REPRESENTATIVE	Y	NASHVILLE, TN, United States
08/2018 - 11/2023	Center Street Securities	REGISTERED REPRESENTATIVE	Y	Nashville, TN, United States
07/2017 - 03/2018	OHIO NATIONAL	FIXED AND INDEXED INSURANCE	Y	ST. LOUIS, MO, United States
07/2016 - 07/2017	1st Global Advisors, Inc.	Investment Adviser Representative	Y	St Louis, MO, United States
07/2016 - 07/2017	1st Global Capital Corp.	Regional Director, Practice Consulting	Y	St Louis, MO, United States
11/2004 - 06/2016	METLIFE SECURITIES INC	FSR	Y	CHESTERFIELD, 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.

INSPERITY, HR OUTSOURCING, CONSULTING WITH BUSINESS OWNERS REGARDING BUSINESS PERFORMANCE. ST. LOUIS, MISSOURI. 80 HOURS PER WEEK FOR COMPENSATION.

Wealth Protection Advisors, d/b/a. Fixed Insurance sales. 20 hours per week. 07/2017 start date.



## 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	2
Criminal	1
Customer Dispute	2

### 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 2

<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	STATE OF MISSOURI DEPARTMENT OF INSURANCE
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Date Initiated:</b>	09/06/2005
<b>Docket/Case Number:</b>	FILE #05A000382
<b>Employing firm when activity occurred which led to the regulatory action:</b>	NORTHWESTERN MUTUAL
<b>Product Type:</b>	Insurance
<b>Allegations:</b>	THE MISSOURI INSURANCE DEPT IS INVESTIGATING NORTHWESTERN MUTUAL'S ALLEGATION THAT MR. JONES INAPPROPRIATELY REPLACED NORTHWESTERN MUTUAL POLICIES WITH METLIFE POLICIES.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	08/25/2006



**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$2,200.00

**Portion Levied against individual:** \$2,200.00

**Payment Plan:**

**Is Payment Plan Current:** Yes

**Date Paid by individual:** 08/28/2006

**Was any portion of penalty waived?** No

**Amount Waived:**

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 07/19/2000

**Docket/Case Number:** C04000027

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

**Product Type:** Insurance

**Other Product Type(s):**

**Allegations:** NASD RULE 2110 - RESPONDENT AFFIXED A PUBLIC CUSTOMER'S SIGNATURE TO AN INSURANCE APPLICATION SUPPLEMENT.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** No

**Resolution Date:** 07/19/2000

**Sanctions Ordered:** Suspension

**Other Sanctions Ordered:**

**Sanction Details:** SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. IN LIGHT OF THE FINANCIAL STATUS



OF THE RESPONDENT, NO MONETARY SANCTION HAS BEEN IMPOSED. THE SUSPENSION WILL COMMENCE AUGUST 21, 2000, AND CONCLUDE SEPTEMBER 1, 2000.

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<b>Reporting Source:</b>	Individual
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS
<b>Sanction(s) Sought:</b>	Suspension
<b>Date Initiated:</b>	07/19/2000
<b>Docket/Case Number:</b>	C04000027
<b>Employing firm when activity occurred which led to the regulatory action:</b>	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC
<b>Product Type:</b>	Annuity-Variable
<b>Allegations:</b>	08/01/00GS: NASD RULE 2110 - RESPONDENT AFFIXED A PUBLIC CUSTOMER'S SIGNATURE TO AN INSURANCE APPLICATION SUPPLEMENT.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/19/2000
<b>Sanctions Ordered:</b>	Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ALL
<b>Duration:</b>	10 DAYS
<b>Start Date:</b>	08/21/2000
<b>End Date:</b>	09/01/2000
<b>Broker Statement</b>	THE SUSPENSION WILL COMMENCE AUGUST 21, 2000, AND CONCLUDE SEPTEMBER 1, 2000.



## 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

<b>Reporting Source:</b>	Individual
<b>Formal Charges were brought in:</b>	State Court
<b>Name of Court:</b>	Missouri Circuit Court - Twenty-Second Judicial Court
<b>Location of Court:</b>	Saint Louis, MO
<b>Docket/Case #:</b>	2222-CR01398-01
<b>Charge Date:</b>	09/17/2022
<b>Charge(s) 1 of 1</b>	
<b>Formal Charge(s)/Description:</b>	Assault-2nd Degree
<b>No of Counts:</b>	1
<b>Felony or Misdemeanor:</b>	Felony
<b>Plea for each charge:</b>	Not guilty
<b>Disposition of charge:</b>	Dismissed
<b>Date of Amended Charge:</b>	09/10/2024
<b>Charge was Amended or reduced to:</b>	Charge was dismissed (nolle prosequi) Defendant successfully completed the Felony Redirect Program
<b>Amended No of Counts:</b>	1
<b>Amended Charge:</b>	Dismissed
<b>Amended Plea:</b>	Dismissed
<b>Disposition of Amended Charge:</b>	Dismissed
<b>Current Status:</b>	Final
<b>Status Date:</b>	09/10/2024
<b>Disposition Date:</b>	09/10/2024
<b>Sentence/Penalty:</b>	Case Dismissed
<b>Broker Statement</b>	Rep was admitted into a Diversion Program on a Pre-Plea basis. Meaning that rep did not have to plead guilty to any of the charges, and at the end of the program (15 months in length) the charges will be 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 2

**Reporting Source:** Firm

**Employing firm when activities occurred which led to the complaint:** NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC

**Allegations:** THE COMPLAINANT STATES SHE DID NOT SIGN CERTAIN LIFE INSURANCE (NON-VARIABLE) APPLICATION FORMS. NO DAMAGES CITED.

**Product Type:** Insurance

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 12/23/2004

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/08/2005

**Settlement Amount:** \$0.00

**Individual Contribution Amount:** \$0.00

**Firm Statement** SETTLEMENT WAS MADE BY RESCINDING THE LIFE INSURANCE POLICY IN QUESTION. THERE WAS NO MONETARY DISTRIBUTION AS A RESULT OF THIS RESCISSION.

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**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC

**Allegations:** THE COMPLAINANT STATES SHE DID NOT SIGN CERTAIN LIFE INSURANCE (NON-VARIABLE) APPLICATION FORMS. NO DAMAGES CITED.

**Product Type:** Insurance

**Alleged Damages:** \$0.00

#### Customer Complaint Information

**Date Complaint Received:** 12/23/2004

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 02/08/2005

**Settlement Amount:** \$0.00



**Individual Contribution Amount:** \$0.00

**Broker Statement** SETTLEMENT WAS MADE BY RESCINDING THE LIFE INSURANCE POLICY QUESTION. THERE WAS NO MONETARY DISTRIBUTION AS A RESULT OF THIS RESCISSION.

**Disclosure 2 of 2**

**Reporting Source:** Individual

**Employing firm when activities occurred which led to the complaint:** NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC

**Allegations:** CUSTOMER ALLEGED JONES SUBMITTED A VARIABLE LIFE INSURANCE APPLICATION DATED 07/31/1999 CONTAINING INCORRECT INFORMATION, FORGED HER SIGNATURE ON AN APPLICATION SUPPLEMENT AND DID NOT FOLLOW HER INSTRUCTIONS CONCERNING PREMIUM BILLING AND PAYMENT.

**Product Type:** Insurance

**Alleged Damages:** \$120.00

**Customer Complaint Information**

**Date Complaint Received:** 09/09/1999

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/17/1999

**Settlement Amount:** \$120.00

**Individual Contribution Amount:** \$120.00



## End of Report

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