



IAPD Report

CHRISTOPHER DUANE STORY

CRD# 2910330

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 4
Registration and Employment History	5
Disclosure Information	6



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 DUANE STORY (CRD# 2910330)

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 **02/14/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	10/04/2022
IA	LPL FINANCIAL LLC	CRD# 6413	10/05/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **16** 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	RAYMOND JAMES & ASSOCIATES, INC.	705	DECATUR, AL	02/13/2013 - 10/06/2022
IA	RAYMOND JAMES & ASSOCIATES, INC.	705	DECATUR, AL	02/13/2013 - 10/06/2022
IA	MORGAN KEEGAN & COMPANY, INC.	4161	DECATUR, AL	02/12/2003 - 02/13/2013

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
Regulatory Event	1
Customer Dispute	7



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 **16** 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	10/04/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	10/04/2022
B	Alabama	Agent	Approved	10/06/2022
IA	Alabama	Investment Adviser Representative	Approved	10/07/2022
B	California	Agent	Approved	11/14/2023
B	Florida	Agent	Approved	10/04/2022
B	Georgia	Agent	Approved	10/06/2022
B	Iowa	Agent	Approved	12/18/2025
B	Michigan	Agent	Approved	10/04/2022
B	Mississippi	Agent	Approved	02/09/2023
B	Missouri	Agent	Approved	01/03/2024
B	Nebraska	Agent	Approved	10/17/2022
B	North Carolina	Agent	Approved	10/10/2022



Qualifications

Regulator	Registration	Status	Date
B Pennsylvania	Agent	Approved	11/13/2023
B South Carolina	Agent	Approved	10/18/2022
B Tennessee	Agent	Approved	10/04/2022
B Texas	Agent	Approved	10/04/2022
IA Texas	Investment Adviser Representative	Restricted Approval	10/05/2022
B Virginia	Agent	Approved	02/17/2026
B Washington	Agent	Approved	09/23/2025

Branch Office Locations

LPL FINANCIAL LLC
254 MOULTON STREET SUITE 200
DECATUR, AL 35601



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
General Securities Representative Examination (S7)	Series 7	07/07/2000
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/21/1997

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	07/22/2000
Uniform Securities Agent State Law Examination (S63)	Series 63	09/12/1997

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	02/13/2013 - 10/06/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	DECATUR, AL
IA	02/13/2013 - 10/06/2022	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	DECATUR, AL
IA	02/12/2003 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	DECATUR, AL
B	04/03/2000 - 02/13/2013	MORGAN KEEGAN & COMPANY, INC.	CRD# 4161	DECATUR, AL
B	08/22/1997 - 02/10/2000	COMPASS BROKERAGE, INC.	CRD# 17086	BIRMINGHAM, AL

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
10/2022 - Present	LPL Financial	Registered Representative	Y	Decatur, AL, United States
06/2014 - 10/2022	BURNINGTREE COUNTRY CLUB	INSTRUCTOR	N	DECATUR, AL, United States
02/2013 - 10/2022	RAYMOND JAMES & ASSOCIATES, INC.	REGISTERED ASSOCIATE	Y	DECATUR, AL, 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.

1-10/2022 / The Albany Group / DBA for LPL Business (entity for LPL business) / Investment Related / Decatur, AL

2- 01/26/2026 - Rising Trout, Inc - Business Entity For Tax/Investment Purposes Only - Not Investment Related - Home Based - Start Date 10/04/2022 - 40 hours per month/ 6 hours 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
Regulatory Event	1
Customer Dispute	7

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:	Individual
Regulatory Action Initiated By:	STATE OF ALABAMA DEPARTMENT OF INSURANCE
Sanction(s) Sought:	Other
Other Sanction(s) Sought:	MONETARY FINE.
Date Initiated:	06/18/2007
Docket/Case Number:	P-2007-657WR
Employing firm when activity occurred which led to the regulatory action:	MORGAN KEEGAN & COMPANY, INC.
Product Type:	Insurance
Other Product Type(s):	
Allegations:	ON OR ABOUT JANUARY 31, 2007 RESPONDENT SUBMITTED TO THE DEPARTMENT A PRODUCER LICENSE ON-LINE RENEWAL FORM. IN RESPONSE TO QUESTION NUMBER 5 ON SAID FORM, TO-WIT: "I FURTHER SWEAR OR AFFIRM THAT: I HAVE SATISFIED THE 12 HOURS OF CONTINUING EDUCATION REQUIREMENTS ESTABLISHED BY LAW?", RESPONDENT ANSWERED "YES." THAT AFTER AN INVESTIGATION BY THE DEPARTMENT IN ORDER TO RENEW THE RESPONDENT'S LICENSE, IT WAS DISCOVERED THAT RESPONDENT DID NOT SATISFY HIS/HER CONTINUING EDUCATION UNTIL FEBRUARY 5, 2007.
Current Status:	Final
Resolution:	Other



Resolution Date: 07/16/2007

Sanctions Ordered: Monetary/Fine \$250.00

Other Sanctions Ordered:

Sanction Details: MONETARY FINE OF \$250 - A CHECK DATED JULY 18, 2007 HAS BEEN SENT TO ALABAMA INSURANCE DEPARTMENT.



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 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.
Allegations:	CLAIM ALLEGES UNSUITABILITY IN HAVING AN OVERCONCENTRATION IN MUTUAL FUNDS PURCHASED IN 2004.
Product Type:	Mutual Fund
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE BETWEEN \$100,000.00 AND \$500,000.00.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	11-04097
Filing date of arbitration/CFTC reparation or civil litigation:	10/25/2011

Customer Complaint Information

Date Complaint Received:	11/15/2011
Complaint Pending?	No
Status:	Settled
Status Date:	07/17/2013
Settlement Amount:	\$60,000.00
Individual Contribution Amount:	\$0.00

Disclosure 2 of 7

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	MORGAN KEEGAN & COMPANY, INC.



Allegations: CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED IN 2005.

Product Type: Mutual Fund

Alleged Damages: \$25,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-01883

Filing date of arbitration/CFTC reparation or civil litigation: 05/09/2011

Customer Complaint Information

Date Complaint Received: 05/19/2011

Complaint Pending? No

Status: Denied

Status Date: 11/17/2011

Settlement Amount:

Individual Contribution Amount:

Disclosure 3 of 7

Reporting Source: Regulator

Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & CO.

Allegations: SUITABILITY

Product Type: Mutual Fund

Alleged Damages: \$25,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #11-01741

Date Notice/Process Served: 04/28/2011

Arbitration Pending? No

Disposition: Denied

Disposition Date: 10/24/2011

Disposition Detail: CHRISTOPHER STORY WAS A SUBJECT OF THE CUSTOMERS' STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE, ALONG WITH HIS MEMBER FIRM, CONTRIBUTED TO THE SALES PRACTICE VIOLATION.



ACCORDINGLY, CLAIMANTS' CLAMS AGAINST STORY'S MEMBER FIRM ARE DENIED IN THEIR ENTIRETY.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.

Allegations: CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS IN 2006.

Product Type: Mutual Fund

Alleged Damages: \$25,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 11-01741

Filing date of arbitration/CFTC reparation or civil litigation: 04/28/2011

Customer Complaint Information

Date Complaint Received: 05/13/2011

Complaint Pending? No

Status: Denied

Status Date: 10/24/2011

Settlement Amount:

Individual Contribution Amount:

Broker Statement **AS OF 10/24/2011 AN AWARD WAS ENTERED DISMISSING ALL CLAIMS IN THEIR ENTIRETY.**

Disclosure 4 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.

Allegations: CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2006.

Product Type: Mutual Fund

Alleged Damages: \$0.00



Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-03231 CHANGED TO 11-02120

Filing date of arbitration/CFTC reparation or civil litigation: 07/13/2010

Customer Complaint Information

Date Complaint Received: 09/13/2010

Complaint Pending? No

Status: Denied

Status Date: 03/01/2012

Settlement Amount:

Individual Contribution Amount:

Broker Statement AS OF 7/13/2012 THIS EVENT IS NO LONGER REPORTABLE.

Disclosure 5 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.

Allegations: CLAIM ALLEGES UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2003 AND 2007.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-03380



Filing date of arbitration/CFTC reparation or civil litigation: 07/23/2010

Customer Complaint Information

Date Complaint Received: 08/09/2010
Complaint Pending? No
Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date: 06/13/2012
Settlement Amount: \$4,842.00
Individual Contribution Amount: \$0.00

Disclosure 6 of 7

Reporting Source: Regulator
Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.

Allegations: BREACH OF FIDUCIARY DUTY, BREACH OF CONTRACT, UNSUITABILITY, VIOLATIONS OF SECURITIES REGULATORY RULES, VIOLATIONS OF THE ALABAMA SECURITIES ACT, INTENTIONAL AND NEGLIGENT MISREPRESENTATION, BREACH OF DUTY OF GOOD FAITH AND FAIR DEALING AND GROSS NEGLIGENCE

Product Type: Other: BOND FUNDS

Alleged Damages: \$25,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: FINRA - CASE #10-01114

Date Notice/Process Served: 03/04/2010

Arbitration Pending? No

Disposition: Award

Disposition Date: 12/02/2011

Disposition Detail: STORY WAS THE SUBJECT OF THE CLAIMANTS' STATEMENT OF CLAIM FOR THIS ARBITRATION ALLEGING THAT HE WITH HIS MEMBER FIRM CONTRIBUTED TO THE SALES PRACTICE VIOLATIONS. STORY'S MEMBER FIRM IS LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$25,000, PRE- AND POST-JUDGMENT INTEREST SPECIFICALLY DENIED AND ALL OTHER RELIEF REQUESTS ARE DENIED.

Reporting Source: Individual
Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.



Allegations: CLAIM ALLEGES MISREPRESENTATION AND UNSUITABILITY WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 2002 AND 2006.

Product Type: Mutual Fund

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): DAMAGES ARE UNSPECIFIED BUT ARE BELIEVED TO BE IN EXCESS OF \$5,000.

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-01114

Filing date of arbitration/CFTC reparation or civil litigation: 03/04/2010

Customer Complaint Information

Date Complaint Received: 03/22/2010

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 12/02/2011

Settlement Amount: \$25,000.00

Individual Contribution Amount: \$0.00

Disclosure 7 of 7

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: MORGAN KEEGAN & COMPANY, INC.

Allegations: CLAIM ALLEGES UNSUITABILITY AND MISREPRESENTATION WITH REGARD TO MUTUAL FUNDS PURCHASED BETWEEN 4/04 - 1/06

Product Type: Mutual Fund

Alleged Damages: \$84,173.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 09-03192



Filing date of arbitration/CFTC reparation or civil litigation: 05/29/2009

Customer Complaint Information

Date Complaint Received: 06/22/2009

Complaint Pending? No

Status: Settled

Status Date: 02/22/2011

Settlement Amount: \$13,214.00

Individual Contribution Amount: \$0.00



End of Report

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