



IAPD Report

Christopher Wacker

CRD# 3028507

| <u>Section Title</u> | <u>Page(s)</u> |
|-------------------------------------|----------------|
| Report Summary | 1 |
| Qualifications | 2 - 3 |
| Registration and Employment History | 4 - 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 Wacker (CRD# 3028507)

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 **01/07/2025**.

CURRENT EMPLOYERS

| | Firm | CRD# | Registered Since |
|----|-------------------------------------|-------------|------------------|
| IA | ENCOMPASS MORE ASSET MANAGEMENT LLC | CRD# 322382 | 09/10/2024 |

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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 | SCF INVESTMENT ADVISORS, INC. | 123608 | New Berlin, WI | 07/18/2023 - 10/17/2024 |
| IA | GLOBAL VIEW CAPITAL MANAGEMENT LLC | 158292 | NEW BERLIN, WI | 12/22/2017 - 07/19/2023 |
| IA | PARK AVENUE SECURITIES LLC | 46173 | BROOKFIELD, WI | 12/22/2000 - 05/29/2015 |

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 |
| 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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ENCOMPASS MORE ASSET MANAGEMENT LLC**

Main Address: 390 DIABLO RD
SUITE 100
DANVILLE, CA 94526

Firm ID#: 322382

| Regulator | Registration | Status | Date |
|--------------|-----------------------------------|----------|------------|
| IA Wisconsin | Investment Adviser Representative | Approved | 09/10/2024 |

Branch Office Locations

ENCOMPASS MORE ASSET MANAGEMENT LLC

2665 S. MOORLAND RD.
SUITE 212
NEW BERLIN, WI 53151



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 |
|--------------------------|----------|------|
| No information reported. | | |

General Industry/Product Exams

| Exam | Category | Date |
|--|----------|------------|
| B Securities Industry Essentials Examination (SIE) | SIE | 05/29/2015 |
| B General Securities Representative Examination (S7) | Series 7 | 12/19/2001 |
| B Investment Company Products/Variable Contracts Representative Examination (S6) | Series 6 | 06/18/1998 |

State Securities Law Exams

| Exam | Category | Date |
|--|-----------|------------|
| IA Uniform Investment Adviser Law Examination (S65) | Series 65 | 08/18/2017 |
| B Uniform Securities Agent State Law Examination (S63) | Series 63 | 06/29/1998 |

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 | 07/18/2023 - 10/17/2024 | SCF INVESTMENT ADVISORS, INC. | CRD# 123608 | New Berlin, WI |
| IA | 12/22/2017 - 07/19/2023 | GLOBAL VIEW CAPITAL MANAGEMENT LLC | CRD# 158292 | NEW BERLIN, WI |
| IA | 12/22/2000 - 05/29/2015 | PARK AVENUE SECURITIES LLC | CRD# 46173 | BROOKFIELD, WI |
| B | 05/03/1999 - 05/29/2015 | PARK AVENUE SECURITIES LLC | CRD# 46173 | BROOKFIELD, WI |
| B | 06/19/1998 - 05/03/1999 | GUARDIAN INVESTOR SERVICES CORPORATION | CRD# 6635 | NEW YORK, NY |

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 |
|-------------------|--|--|--------------------|-------------------------------|
| 09/2024 - Present | ENCOMPASS MORE ASSET MANAGEMENT LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | DANVILLE, CA, United States |
| 03/2018 - Present | DAYTON FREIGHT LINES, INC. | FORKLIFT DOCK WORKER | N | MILWAUKEE, WI, United States |
| 05/2015 - Present | GUARDIAN LIFE INSURANCE CO. OF AMERICA | LIFE INSURANCE BROKER - SERVICING EXISTING CLIENTS ONLY | Y | PEWAUKEE, WI, United States |
| 09/2006 - Present | UPS (i.e. UNITED PARCEL SERVICE) | PACKAGE HANDLER/RAMP | N | MILWAUKEE, WI, United States |
| 11/1978 - Present | CHRIS WACKER, SELF-EMPLOYED, REAL ESTATE INVESTMENTS | OWNER AND LANDLORD OF INVESTMENT REAL ESTATE (RENTAL PROPERTY) | N | OAK CREEK, WI, United States |
| 07/2023 - 10/2024 | SCF INVESTMENT ADVISORS, INC. | INVESTMENT ADVISER REPRESENTATIVE | Y | NEW BERLIN, WI, United States |
| 12/2017 - 07/2023 | GLOBAL VIEW CAPITAL MANAGEMENT, LLC | INVESTMENT ADVISER REPRESENTATIVE | Y | WAUKESHA, WI, United States |



Registration & Employment History

EMPLOYMENT HISTORY

| Employment Dates | Employer Name | Position | Investment Related | Employer Location |
|-------------------|---|------------------------|--------------------|------------------------------|
| 12/2016 - 07/2023 | GLOBAL VIEW CAPITAL INSURANCE SERVICES, LLC | INSURANCE AGENT | Y | WAUKESHA, WI, United States |
| 08/2016 - 07/2023 | GLOBAL VIEW CAPITAL ADVISORS, LLC | INDEPENDENT CONTRACTOR | Y | WAUKESHA, WI, United States |
| 03/2016 - 03/2018 | TAX AIRFREIGHT, INC. | FORKLIFT DOCK WORKER | N | MILWAUKEE, WI, 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) LICENSED INDEPENDENT INSURANCE AGENT.

[2] CHRISTOPHER WACKER, SELF-EMPLOYED REAL ESTATE INVESTMENTS; NOT INVESTMENT RELATED; ADDRESS: 524 E HOMER STREET, MILWAUKEE, WI 53207; NATURE: RENTAL PROPERTY; POSITION: OWNER AND LANDLORD; STARTED: NOVEMBER 1978; APPROX. 2 HRS/MONTH; APPROX. ZERO HRS/MONTH DURING TRADING HOURS; RESPONSIBILITIES: MANAGE TENANT RELATIONSHIPS AND BASIC BUILDING MAINTENANCE.

[3] UNITED PARCEL SERVICE (i.e. UPS); NOT INVESTMENT RELATED; ADDRESS: 351 CARGO WAY, MILWAUKEE, WI 53207; NATURE: WORLDWIDE DELIVERY AND SHIPPING COMPANY; POSITION: PACK-HANDLER-RAMP; STARTED: 09-05-2006; APPROX. 75 HRS/MONTH; APPROX. ZERO HRS/MONTH DURING TRADING HOURS; RESPONSIBILITIES: A.M. SHIFT PACKAGE HANDLER AT AIRPORT IN MILWAUKEE, WI.

[4] GUARDIAN LIFE INSURANCE CO OF AMERICA; YES-INVESTMENT RELATED; ADDRESS: 1166 QUAIL COURT, SUITE 100, PEWAUKEE, WI 53072; NATURE: INSURANCE BROKER; POSITION: BROKER-AGENT; STARTED: 05-01-2015; APPROX. 8 HRS/MONTH; APPROX. 4 HRS/MONTH DURING TRADING HOURS; RESPONSIBILITIES: RECEIVE REQUESTS FROM AGENCY TO ASSIST WITH COMPLETING SERVICE REQUEST FORMS SUCH AS ADDRESS, BANK AND BENEFICIARY CHANGES AND OFFER ADDITIONAL SERVICES.

[5] DAYTON FREIGHT; NOT INVESTMENT RELATED; ADDRESS: 3135 CO HWY H STURTEVANT, WI 53177; NATURE: FREIGHT TRANSPORT; POSITION: FORKLIFT DOCK WORKER, 2ND SHIFT PART-TIME; STARTED: 04-02-2018; APPROX. 90 HRS/MONTH; APPROX. ZERO HRS/MONTH DURING TRADING HOURS; RESPONSIBILITIES: DOCK FORKLIFT OPERATOR 2ND SHIFT PART-TIME, LOAD AND UNLOAD FREIGHT FROM SEMI AND STRAIGHT TRUCKS.



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 |
| Termination | 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: | FINRA |
| Sanction(s) Sought: | |
| Date Initiated: | 07/18/2016 |
| Docket/Case Number: | 2014041510201 |
| Employing firm when activity occurred which led to the regulatory action: | Park Avenue Securities LLC |
| Product Type: | Other: unspecified securities |
| Allegations: | Without admitting or denying the findings, Wacker consented to the sanctions and to the entry of findings that an unregistered administrative assistant fabricated order tickets directing the sale of securities from a customer account without the customer's knowledge or consent, and the assistant gave the tickets to Wacker to execute. The findings stated that in connection with the tickets, Wacker made false statements to personnel on the member firm's trading desk that he had spoken with the customer regarding her purported sell orders on several occasions, when, in fact, he had not done so. |
| 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?

Resolution Date: 07/18/2016

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

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or



(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type: Suspension
Capacities Affected: All Capacities
Duration: two months
Start Date: 07/18/2016
End Date: 09/17/2016

Monetary Sanction 1 of 1

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

Total Amount: \$5,000.00

Portion Levied against individual: \$5,000.00

Payment Plan: deferred

Is Payment Plan Current:

Date Paid by individual: 12/07/2017

Was any portion of penalty waived? No

Amount Waived:

Regulator Statement Fines paid in full on December 7, 2017.

Reporting Source: Individual

Regulatory Action Initiated By: FINRA

Sanction(s) Sought:

Date Initiated: 07/18/2016

Docket/Case Number: [2014041510201](#)



| | |
|---|---|
| Employing firm when activity occurred which led to the regulatory action: | PARK AVENUE SECURITIES, LLC. |
| Product Type: | Other: UNSPECIFIED SECURITIES |
| Allegations: | WITHOUT ADMITTING OR DENYING THE FINDINGS, WACKER CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT AN UNREGISTERED ADMINISTRATIVE ASSISTANT FABRICATED ORDER TICKETS DIRECTING THE SALES OF SECURITIES FROM A CUSTOMER ACCOUNT WITHOUT THE CUSTOMER'S KNOWLEDGE OR CONSENT, AND THE ASSISTANT GAVE THE TICKETS TO WACKER TO EXECUTE. THE FINDINGS STATED THAT IN CONNECTION WITH THE TICKETS, WACKER MADE FALSE STATEMENTS TO PERSONNEL ON THE MEMBER FIRM'S TRADING DESK THAT HE HAD SPOKEN WITH THE CUSTOMER REGARDING HER PURPORTED SELL ORDERS ON SEVERAL OCCASIONS, WHEN, IN FACT, HE HAD NOT DONE SO. |
| 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: | 07/18/2016 |
| Sanctions Ordered: | Civil and Administrative Penalty(ies)/Fine(s) Suspension |
| Sanction 1 of 1 | |
| Sanction Type: | Suspension |
| Capacities Affected: | ALL CAPACITIES |
| Duration: | TWO MONTHS |
| Start Date: | 07/18/2016 |
| End Date: | 09/17/2016 |
| Monetary Sanction 1 of 1 | |
| Monetary Related Sanction: | Civil and Administrative Penalty(ies)/Fine(s) |
| Total Amount: | \$5,000.00 |
| Portion Levied against individual: | \$5,000.00 |
| Payment Plan: | DEFERRED |
| Is Payment Plan Current: | |
| Date Paid by individual: | 12/07/2017 |
| Was any portion of penalty waived? | No |
| Amount Waived: | |



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: PARK AVENUE SECURITIES
Termination Type: Discharged
Termination Date: 05/01/2015
Allegations: MR. WACKER DID NOT FOLLOW REGULATORY GUIDELINES WHEN PLACING SPECIFIC CUSTOMER TRADES WITH THE FIRM'S ORDER DESK.
Product Type: Equity Listed (Common & Preferred Stock)

Reporting Source: Individual
Firm Name: PARK AVENUE SECURITIES, LLC.
Termination Type: Discharged
Termination Date: 05/01/2015
Allegations: MR. WACKER DID NOT FOLLOW REGULATORY GUIDELINES WHEN PLACING SPECIFIC CUSTOMER TRADES WITH THE FIRM'S ORDER DESK.
Product Type: Equity Listed (Common & Preferred Stock)

Broker Statement
IN REGARDS TO MY ASSOCIATION WITH PARK AVENUE SECURITIES, I HAVE NEVER HAD A COMPLAINT OVER MY SEVENTEEN YEARS OF QUALITY REPRESENTATION WORKING WITH HUNDREDS OF CLIENTS. AN ADMINISTRATIVE ASSISTANT IN OUR OFFICE DECEIVED MANY PEOPLE IN AND OUT OF THE OFFICE, INCLUDING MISLEADING ME INTO NOT FOLLOWING PROCEDURES WHEN PLACING SOME STOCK TRADES FOR ANOTHER FINANCIAL REP. NO ONE, IN THE ENTIRE ORGANIZATION, KNEW OF HER ACTIONS UNTIL IT WAS DISCOVERED WITHIN OUR OFFICE. MY INTENTIONS WERE TO TAKE CARE OF A CLIENT NEED.



End of Report

This page is intentionally left blank.