



IAPD Report

CHRISTOPHER SCOTT AIREY

CRD# 3083616

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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 SCOTT AIREY (CRD# 3083616)

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 **08/31/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	SPIRE WEALTH MANAGEMENT, LLC	CRD# 113908	08/28/2003
B	SPIRE SECURITIES, LLC	CRD# 144131	11/01/2007

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **20** 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	CORBETT ROAD CAPITAL MANAGEMENT, LLC	305063	MCLEAN, VA	11/25/2019 - 12/31/2025
B	CAMBRIDGE INVESTMENT RESEARCH, INC.	39543	MCLEAN, VA	08/27/2003 - 11/02/2007
IA	MERIDIAN WEALTH MANAGEMENT, LLC	127781	ALEXANDRIA, VA	08/01/2003 - 08/28/2003

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



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

Employment 1 of 2

Firm Name: **SPIRE SECURITIES, LLC**
Main Address: 7901 JONES BRANCH DR.
SUITE 810
MCLEAN, VA 22102
Firm ID#: 144131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/01/2007
B	FINRA	General Securities Sales Supervisor	Approved	11/01/2007
B	Arizona	Agent	Approved	01/26/2023
B	California	Agent	Approved	11/08/2007
B	District of Columbia	Agent	Approved	11/16/2007
B	Florida	Agent	Approved	07/03/2012
B	Illinois	Agent	Approved	11/09/2007
B	Indiana	Agent	Approved	02/06/2023
B	Kentucky	Agent	Approved	01/10/2023
B	Maryland	Agent	Approved	11/27/2007
B	Massachusetts	Agent	Approved	01/30/2017
B	Michigan	Agent	Approved	06/11/2010
B	Nevada	Agent	Approved	01/20/2016



Qualifications

	Regulator	Registration	Status	Date
B	New York	Agent	Approved	12/20/2007
B	North Carolina	Agent	Approved	11/13/2007
B	North Dakota	Agent	Approved	01/12/2023
B	Ohio	Agent	Approved	11/16/2007
B	South Dakota	Agent	Approved	01/09/2023
B	Texas	Agent	Approved	12/10/2007
B	Virginia	Agent	Approved	12/10/2007
B	Washington	Agent	Approved	01/10/2023

Branch Office Locations

7901 Jones Branch Dr.
Suite 800
MCLEAN, VA 22102

Employment 2 of 2

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

Main Address: 7901 JONES BRANCH DR.
SUITE 810
MCLEAN, VA 22102

Firm ID#: 113908

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	04/04/2022
IA	Connecticut	Investment Adviser Representative	Approved	03/31/2022
IA	Maryland	Investment Adviser Representative	Approved	03/30/2022
IA	Texas	Investment Adviser Representative	Restricted Approval	03/31/2022



Qualifications

Regulator	Registration	Status	Date
IA Virginia	Investment Adviser Representative	Approved	08/28/2003

Branch Office Locations

SPIRE WEALTH MANAGEMENT, LLC

7901 Jones Branch Dr
Suite 800
McLean, VA 22102





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, 2 general industry/product exams, and 2 state securities law exams.



Principal/Supervisory Exams

	Exam	Category	Date
	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	10/08/1999
	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	10/07/1999

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	04/06/1999

State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	06/18/1999
	Uniform Securities Agent State Law Examination (S63)	Series 63	05/15/1999

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	11/25/2019 - 12/31/2025	CORBETT ROAD CAPITAL MANAGEMENT, LLC	CRD# 305063	MCLEAN, VA
B	08/27/2003 - 11/02/2007	CAMBRIDGE INVESTMENT RESEARCH, INC.	CRD# 39543	MCLEAN, VA
IA	08/01/2003 - 08/28/2003	MERIDIAN WEALTH MANAGEMENT, LLC	CRD# 127781	ALEXANDRIA, VA
IA	08/13/2002 - 08/14/2003	CHARLES SCHWAB & CO., INC.	CRD# 5393	ALEXANDRIA, VA
B	07/26/2002 - 08/14/2003	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX
IA	11/16/2000 - 08/13/2002	LEGG MASON WOOD WALKER INC	CRD# 6555	ALEXANDRIA, VA
B	04/07/1999 - 08/13/2002	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD

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
09/2019 - Present	Corbett Road Investment Management	Owner	Y	McLean, VA, United States
11/2007 - Present	SPIRE INVESTMENT PARTNERS, LLC	RR/ADVISOR	Y	MCLEAN, VA, United States
08/2003 - Present	SPIRE WEALTH MANAGEMENT, LLC	IAR	Y	MCLEAN, VA, 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) IAR OF SPIRE WEALTH MANAGEMENT. DBA: CORBETT ROAD. EACH INVESTMENT RELATED AS AN IAR OF SWM.
- 2) INDEPENDENT INSURANCE AGENT FOR VARIOUS INDEPENDENT INSURANCE COMPANIES
- 3) IAR/Pres. & Owner of Affiliated RIA, Corbett Road Capital Management (CRCM). Formed 9/2019. Affiliated through a Joint Venture with SIP. Hours devoted 1/2 of each business/trading day.



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

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:	Other: N/A
Date Initiated:	07/01/2009
Docket/Case Number:	2007011128201
Employing firm when activity occurred which led to the regulatory action:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Product Type:	Other: LIMITED LIABILITY COMPANY INTERESTS
Allegations:	NASD RULES 2110 AND 3040: RESPONDENT CHRISTOPHER SCOTT AIREY PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT GIVING PRIOR WRITTEN NOTICE TO, OR OBTAINING WRITTEN APPROVAL FROM, HIS MEMBER FIRM.
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:	07/01/2009
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)



Suspension

No

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: ANY CAPACITY
Duration: THREE MONTHS
Start Date: 08/03/2009
End Date: 11/02/2009

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:
Is Payment Plan Current: Yes
Date Paid by individual: 07/13/2009
Was any portion of penalty waived? No

Amount Waived:

Regulator Statement WITHOUT ADMITTING OR DENYING THE FINDINGS, AIREY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS.

THE SUSPENSION IS IN EFFECT FROM AUGUST 3, 2009 THROUGH NOVEMBER 2, 2009.

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Reporting Source: Individual
Regulatory Action Initiated By: FINRA
Sanction(s) Sought: Other: SUSPENSION AND FINE



Date Initiated:	07/01/2009
Docket/Case Number:	2007011128201
Employing firm when activity occurred which led to the regulatory action:	CAMBRIDGE INVESTMENT RESEARCH, INC.
Product Type:	Other: LLC
Allegations:	FOUND CHRISTOPHER AIREY PARTICIPATED IN PRIVATE SECURITIES TRANSACTIONS WITHOUT GIVING PRIOR WRITTEN NOTICE TO, OR OBTAINING WRITTEN APPROVAL FROM HIS MEMBER FIRM.
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:	07/01/2009
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE MONTHS
Start Date:	08/03/2009
End Date:	11/02/2009
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:	
Is Payment Plan Current:	
Date Paid by individual:	07/10/2009
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE FINDINGS, AIREY CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IS IN EFFECT FROM AUGUST 3, 2009 THROUGH NOVEMBER 2, 2009.



End of Report

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