User Guidance

www.adviserinfo.sec.gov

IAPD Report

CHRISTOPHER BRADLEY AYER

CRD# 3187634

Section Title

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

User Guidance

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Report Summary

CHRISTOPHER BRADLEY AYER (CRD# 3187634)

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 **01/04/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	NEWEDGE SECURITIES, LLC	CRD# 10674	11/05/2024
IA	NEW EDGE WEALTH	CRD# 307771	11/05/2024

QUALIFICATIONS

This representative is currently registered in **2** SRO(s) and **7** 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	PURSHE KAPLAN STERLING INVESTMENTS	35747	Portsmouth, NH	08/25/2023 - 11/06/2024
IA	PALLAS CAPITAL ADVISORS, LLC	310327	Portsmouth, NH	11/18/2020 - 11/06/2024
B	TRIAD ADVISORS LLC	25803	Portsmouth, NH	01/24/2020 - 05/23/2023

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

Employment 1 of 2

Firm Name: **NEWEDGE SECURITIES, LLC**

Main Address: 1251 WATERFRONT PLACE
SUITE 510
PITTSBURGH, PA 15222-6368

Firm ID#: 10674

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/05/2024
B	Nasdaq Stock Market	General Securities Representative	Approved	11/05/2024
B	Maine	Agent	Approved	11/05/2024
B	Maryland	Agent	Approved	01/09/2026
B	Massachusetts	Agent	Approved	11/06/2024
B	Michigan	Agent	Approved	11/07/2024
B	New Hampshire	Agent	Approved	11/05/2024
B	Pennsylvania	Agent	Approved	11/06/2024
B	Texas	Agent	Approved	11/05/2024

Branch Office Locations

36 Maplewood Avenue
Portsmouth, NH 03801

Employment 2 of 2

Firm Name: **NEW EDGE WEALTH**

Main Address: 2200 ATLANTIC STREET

Qualifications

	SUITE 200 STAMFORD, CT 06902
Firm ID#:	307771

	Regulator	Registration	Status	Date
IA	New Hampshire	Investment Adviser Representative	Approved	11/05/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	01/05/2026

Branch Office Locations

NEW EDGE WEALTH
36 Maplewood Avenue
Portsmouth, NH 03801

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	10/01/2018
B	Futures Managed Funds Examination (S31)	Series 31	05/10/1999
B	General Securities Representative Examination (S7)	Series 7	04/09/1999

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	05/25/1999
B	Uniform Securities Agent State Law Examination (S63)	Series 63	04/26/1999

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

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	08/25/2023 - 11/06/2024	PURSHE KAPLAN STERLING INVESTMENTS	CRD# 35747	Portsmouth, NH
IA	11/18/2020 - 11/06/2024	PALLAS CAPITAL ADVISORS, LLC	CRD# 310327	Portsmouth, NH
B	01/24/2020 - 05/23/2023	TRIAD ADVISORS LLC	CRD# 25803	Portsmouth, NH
IA	01/24/2020 - 12/08/2020	GOSS ADVISORS	CRD# 171351	Portsmouth, NH
IA	01/08/2016 - 01/31/2020	AMERIPRISE FINANCIAL SERVICES, LLC.	CRD# 6363	PORTSMOUTH, NH
B	01/08/2016 - 01/29/2020	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	PORTSMOUTH, NH
B	08/29/2008 - 01/19/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	PORTSMOUTH, NH
IA	08/29/2008 - 01/19/2016	UBS FINANCIAL SERVICES INC.	CRD# 8174	PORTSMOUTH, NH
B	04/30/2004 - 09/09/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORTSMOUTH, NH
IA	04/30/2004 - 09/09/2008	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	PORTSMOUTH, NH
IA	07/02/1999 - 05/04/2004	MORGAN STANLEY	CRD# 7556	PORTSMOUTH, NH
B	04/12/1999 - 05/04/2004	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, 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
11/2024 - Present	NewEdge Securities	Registered Representative	Y	Pittsburgh, PA, United States
11/2024 - Present	NewEdge Wealth	Registered Investment Representative	Y	Stamford, CT, United States
08/2023 - 11/2024	Purshe Kaplan Sterling Investments, Inc.	Registered Representative	Y	Albany, NY, United States

Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2020 - 11/2024	Pallas Capital Advisors, LLC	Senior Vice President - Wealth Management	Y	Portsmouth, NH, United States
01/2020 - 05/2023	Triad Advisors LLC	Registered Representative	Y	Norcross, GA, United States
01/2020 - 11/2020	GWM Advisors, LLC	Investment Advisor Representative	Y	New Orleans, LA, United States
01/2016 - 01/2020	Ameriprise Financial Services, Inc.	Registered Rep	Y	Portsmouth, NH, 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.) Old York Historical Society. Not investment related. 3 Lindsay Road, York, ME 03909. non-profit organization with a mandate to promote and protect York Maine's rich history and historical landmarks thus enhancing the town; Board of Directors. 7/2021. 5-10 hrs./month. 0 hrs. during trading. Form a strategic plan, plan events, prepare a budget, general non-profit/typical BOD duties.
2) CBA Asset Management* Yes Invest*11/5/24*Portsmouth NH*This is my company and how I operate my business at New Edge*Owner and Manager*manage my book of business at NEW*480 hour/0 non trade

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	2

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:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, THAT FROM 11/01/2007-03/31/2009 THE FA MISREPRESENTED THE DETAILS OF ASSET ALLOCATION WITHIN THE TRUST.
Product Type:	Other: CHARITABLE REMAINDER TRUST
Alleged Damages:	$603,736.17
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-03451
Filing date of arbitration/CFTC reparation or civil litigation:	11/22/2013

Customer Complaint Information

Date Complaint Received:	01/09/2014
Complaint Pending?	No

Status:	Denied
Status Date:	11/04/2014
Settlement Amount:	
Individual Contribution Amount:	

Civil Litigation Information

Type of Court:	SUPERIOR COURT
Name of Court:	THE STATE OF NEW HAMPSHIRE JUDICIAL BRANCH SUPERIOR COURT
Location of Court:	STRAFFORD COUNTY, NH
Docket/Case #:	2192012CV00559
Date Notice/Process Served:	12/06/2012
Litigation Pending?	No
Disposition:	Other: CIVIL LITIGATION HAS EVOLVED INTO AN ARBITRATION
Disposition Date:	01/09/2014
Firm Statement	CLAIMANTS' CLAIMS WERE DISMISSED IN THEIR ENTIRETY.

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	CLAIMANTS ALLEGE, INTER ALIA, THAT FROM 11/01/2007-03/31/2009 THE FA MISREPRESENTED THE DETAILS OF ASSET ALLOCATION WITHIN THE TRUST.
Product Type:	Other: CHARITABLE REMAINDER TRUST
Alleged Damages:	$603,736.17
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	13-03451
Filing date of arbitration/CFTC reparation or civil litigation:	11/22/2013

Customer Complaint Information

Date Complaint Received:	01/09/2014
Complaint Pending?	No
Status:	Denied
Status Date:	11/04/2014

Settlement Amount:	$0.00
Individual Contribution Amount:	$0.00

Civil Litigation Information

Type of Court:	State Court
Name of Court:	THE STATE OF NEW HAMPSHIRE JUDICIAL BRANCH SUPERIOR COURT
Location of Court:	STRAFFORD COUNTY, NH
Docket/Case #:	2192012CV00559
Date Notice/Process Served:	12/06/2012
Litigation Pending?	No
Disposition:	Other: CIVIL LITIGATION HAS EVOLVED INTO AN ARBITRATION
Disposition Date:	01/09/2014
Broker Statement	CLAIMANTS' CLAIMS WERE DISMISSED IN THEIR ENTIRETY BY FINRA ARBITRATION PANEL. THE CLAIMANT APPOINTED CITI TRUST COMPANY IN 2004 TO SERVE AS A TRUSTEE ON A CHARITABLE REMAINDER UNIT TRUST. AS THE FA ON THIS ACCOUNT, I HIRED OUTSIDE MANAGERS TO MANAGE THE ASSETS WITHIN THE UNIT TRUST. CLAIMANT ALLEGES HE MADE A REQUEST TO LIQUIDATE ALL ASSETS AND MOVE THE TRUST COMPLETELY INTO US TREASURIES IN LATE 2007. THIS INSTRUCTION IS DISPUTED AS THERE ARE DIFFERENCE OF OPINIONS AND RECOLLECTION OF THE FACTS. I DENY THESE ALLEGATIONS AND LOOK FORWARD TO DEFENDING MY POSITION IN THE PENDING LITIGATION.

Disclosure 2 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	SUITABILITY, CHURNING, AND UNAUTHORIZED TRADING
Product Type:	Unit Investment Trust
Alleged Damages:	$191,000.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #10-01534
Date Notice/Process Served:	03/29/2010
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	11/07/2011
Disposition Detail:	RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT THE SUM OF $36,775.00 IN COMPENSATORY DAMAGES.

Reporting Source:	Firm

Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS, INC.
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT BEGINNING IN NOVEMBER OF 2007, THE FINANCIAL ADVISOR FAILED TO FOLLOW THE CLAIMANT'S INSTRUCTIONS TO REALLOCATE HER INVESTMENTS TO A MORE SUITABLE STRATEGY. CLAIMANT ALSO ALLEGES THAT FA MADE UNAUTHORIZED TRADES IN HER ACCOUNTS.
Product Type:	Equity Listed (Common & Preferred Stock) Unit Investment Trust
Alleged Damages:	$150,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	07/26/2010
Complaint Pending?	No
Status:	Evolved into Arbitration/CFTC reparation (the individual is a named party)
Status Date:	07/26/2010
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-01534
Date Notice/Process Served:	07/26/2010
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/07/2011
Monetary Compensation Amount:	$36,775.00
Individual Contribution Amount:	$0.00

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	CITIGROUP GLOBAL MARKETS
Allegations:	CLAIMANT ALLEGES, INTER ALIA, THAT BEGINNING IN NOVEMBER OF 2007, THE FINANCIAL ADVISOR FAILED TO FOLLOW THE CLAIMANT'S

	INSTRUCTIONS TO REALLOCATE HER INVESTMENTS TO A MORE SUITABLE STRATEGY. CLAIMANT ALSO ALLEGES THAT FA MADE UNAUTHORIZED TRADES IN HER ACCOUNTS.
Product Type:	Equity Listed (Common & Preferred Stock)
Alleged Damages:	$150,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-01534
Date Notice/Process Served:	07/26/2010
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	11/07/2011
Monetary Compensation Amount:	$36,775.00
Individual Contribution Amount:	$0.00
Broker Statement	THOUGH AN ARBITRATION PANEL DID MAKE AN AWARD IN THE CLIENT'S FAVOR, IT IS IMPORTANT TO NOTE THAT IT WAS ONLY A FRACTION OF THE AMOUNT CLAIMED BY THE CLIENT. MORGAN STANLEY SMITH BARNEY DETERMINED THAT I DID NOT VIOLATE ANY FIRM POLICIES AND PAID THE ENTIRE CLAIM WHILE REPRESENTING ME IN THIS MATTER. I WAS NOT ASKED TO CONTRIBUTE PERSONALLY ANY MONIES TOWARD THE SETTLEMENT OF THIS CASE.

End of Report

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