



IAPD Report

CHRISTOPHER MICHAEL SHUBA

CRD# 4031188

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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 MICHAEL SHUBA (CRD# 4031188)

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 **03/05/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	CLEAR CREEK FINANCIAL MANAGEMENT, LLC	CRD# 170602	09/08/2017

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	AMERIPRISE FINANCIAL SERVICES, INC.	6363	GRANITE BAY, CA	05/20/2014 - 04/01/2016
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	GRANITE BAY, CA	04/02/2014 - 04/01/2016
B	COLUMBIA MANAGEMENT INVESTMENT DISTRIBUTORS, INC.	840	MINNEAPOLIS, MN	11/11/2011 - 03/04/2014

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

Employment 1 of 1

Firm Name: **CLEAR CREEK FINANCIAL MANAGEMENT, LLC**

Main Address: 9361 BAYSHORE DRIVE NW
SILVERDALE, WA 98383

Firm ID#: 170602

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	09/08/2017

Branch Office Locations

CLEAR CREEK FINANCIAL MANAGEMENT, LLC

9732 Clos Du Lac Circle
Loomis, CA 95650



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
B Securities Industry Essentials Examination (SIE)	SIE	04/01/2016
B General Securities Representative Examination (S7)	Series 7	10/15/2010
B Municipal Securities Representative Examination (S52)	Series 52	10/14/1999

State Securities Law Exams

Exam	Category	Date
IA B Uniform Combined State Law Examination (S66)	Series 66	05/20/2014
B Uniform Securities Agent State Law Examination (S63)	Series 63	10/27/1999



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
IA	05/20/2014 - 04/01/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	GRANITE BAY, CA
B	04/02/2014 - 04/01/2016	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	GRANITE BAY, CA
B	11/11/2011 - 03/04/2014	COLUMBIA MANAGEMENT INVESTMENT DISTRIBUTORS, INC.	CRD# 840	MINNEAPOLIS, MN
B	10/18/2010 - 11/11/2011	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	MINNEAPOLIS, MN
B	10/15/1999 - 02/29/2000	OLDE DISCOUNT CORPORATION	CRD# 5979	DETROIT, MI

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
09/2017 - Present	Clear Creek Financial Management	Investment Adviser Representative	Y	Silverdale, WA, United States
04/2016 - Present	Helios Quantitative Research	CEO/CCO	Y	Loomis, CA, United States
03/2014 - 04/2016	Westlake, Grahl and Glover	Chief Investment Officer	Y	GRANITE BAY, CA, 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.

Helios Quantitative Research; investment related; CEO; an algorithm based consulting firm; 100% of time spent during trading hours; Start Date 04/2016.

Dollar Dollar Dollar, non-investment related, golf application, sports betting technology; 0 hours; equity owner, 1/8/19.

Pulse360, non-investment related, meeting documentation and storage app, zero hours; investor, 6/9/20.

Voodoo E-Commerce; Las Vegas, NV; non-investment related; drop shipping business with son, 0 hours; 7/23/2023; equity owner.



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:	California Department of Business Oversight
Sanction(s) Sought:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	04/27/2020
Docket/Case Number:	288275
URL for Regulatory Action:	HTTPS://DBO.CA.GOV/ENF-H/HELIOS-QUANTATIVE-RESEARCH-LLC/
Employing firm when activity occurred which led to the regulatory action:	Helios Quantitative Research, LLC
Product Type:	Mutual Fund
Allegations:	Shuba was the principal owner of Helios. Helios provided investment advice to licensed investment advisers via algorithmic investment advice. The licensed advisors forwarded that advice to customers. Helios did not have an investment adviser license. Upon the Department's inquiry, Helios fully cooperated and provided information. Helios asserted it had received advice from a third-party consulting company that caused Helios to believe in good faith that its operations did not require an IA license because its clients were other investment advisers and that it could rely on the de minimis exception because it did not operate a publicly-facing office at all. If the matter proceeded, the Department would have alleged that Helios did not qualify for the de minimis exception in California because its principal office was in California, and the lack of an IA license was therefore in violation of Corporations Code section 25230, subdivision (a). In agreeing to the consent order, Helios and Shuba made no personal admissions as to the Department's allegations.



Current Status:	Final
Resolution:	Consent
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:	04/27/2020
Sanctions Ordered:	Cease and Desist Civil and Administrative Penalty(ies)/Fine(s) Other: HELIOS QUANTITATIVE RESEARCH AND SHUBA ORDERED TO DESIST AND REFRAIN FROM FURTHER OPERATING WITHOUT AN INVESTMENT ADVISER CERTIFICATE AND ORDERED TO PAY A \$12,000 PENALTY.
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$12,000.00
Portion Levied against individual:	\$12,000.00
Payment Plan:	Single payment
Is Payment Plan Current:	Yes
Date Paid by individual:	05/26/2020
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	HELIOS HAD ALREADY CEASED ACTIVITY as its own LLC. THE HELIOS BRAND NAME NOW OPERATES AS A DBA OF SEC-REGISTERED ADVISER CLEAR CREEK FINANCIAL.



End of Report

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