



## IAPD Report

# CHRISTOPHER KELSEY MCCLURE

CRD# 4205292

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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 KELSEY MCCLURE (CRD# 4205292)

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 **06/24/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	CRD# 20472	11/04/2003
<b>IA</b>	ADVICE AND PLANNING SERVICES	CRD# 20472	07/16/2008

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **51** 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>IA</b>	TIAA-CREF ADVICE AND PLANNING SERVICES	20472	CHARLOTTE, NC	05/11/2006 - 12/14/2006
<b>B</b>	HARRIS INVESTOR SERVICES LLC	42159	JERSEY CITY, NJ	07/11/2000 - 10/24/2003

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?

**No**



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

### Employment 1 of 1

Firm Name: **ADVICE AND PLANNING SERVICES**

Main Address: 730 THIRD AVENUE  
NEW YORK, NY 10017-3206

Firm ID#: 20472

	Regulator	Registration	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	11/04/2003
<b>B</b>	FINRA	General Securities Principal	Approved	05/27/2004
<b>B</b>	FINRA	Registered Options Principal	Approved	05/27/2004
<b>B</b>	FINRA	Municipal Securities Principal	Approved	01/28/2008
<b>B</b>	Alabama	Agent	Approved	08/06/2020
<b>B</b>	Alaska	Agent	Approved	08/06/2020
<b>B</b>	Arizona	Agent	Approved	08/06/2020
<b>B</b>	Arkansas	Agent	Approved	08/06/2020
<b>B</b>	California	Agent	Approved	08/06/2020
<b>B</b>	Colorado	Agent	Approved	08/06/2020
<b>B</b>	Connecticut	Agent	Approved	08/06/2020
<b>B</b>	Delaware	Agent	Approved	08/06/2020
<b>B</b>	District of Columbia	Agent	Approved	08/06/2020



## Qualifications

	Regulator	Registration	Status	Date
B	Florida	Agent	Approved	08/06/2020
B	Georgia	Agent	Approved	08/06/2020
B	Hawaii	Agent	Approved	08/06/2020
B	Idaho	Agent	Approved	08/06/2020
B	Illinois	Agent	Approved	08/06/2020
B	Indiana	Agent	Approved	08/06/2020
B	Iowa	Agent	Approved	08/06/2020
B	Kansas	Agent	Approved	08/06/2020
B	Kentucky	Agent	Approved	08/06/2020
B	Louisiana	Agent	Approved	08/06/2020
B	Maine	Agent	Approved	08/06/2020
B	Maryland	Agent	Approved	08/06/2020
B	Massachusetts	Agent	Approved	08/06/2020
B	Michigan	Agent	Approved	08/06/2020
B	Minnesota	Agent	Approved	08/06/2020
B	Mississippi	Agent	Approved	08/06/2020
B	Missouri	Agent	Approved	08/06/2020
B	Montana	Agent	Approved	08/06/2020
B	Nebraska	Agent	Approved	08/06/2020



## Qualifications

	Regulator	Registration	Status	Date
B	Nevada	Agent	Approved	08/06/2020
B	New Hampshire	Agent	Approved	08/06/2020
B	New Jersey	Agent	Approved	08/06/2020
B	New Mexico	Agent	Approved	08/06/2020
B	New York	Agent	Approved	08/06/2020
B	North Carolina	Agent	Approved	11/04/2003
IA	North Carolina	Investment Adviser Representative	Approved	07/16/2008
B	North Dakota	Agent	Approved	08/06/2020
B	Ohio	Agent	Approved	08/06/2020
B	Oklahoma	Agent	Approved	08/06/2020
B	Oregon	Agent	Approved	08/06/2020
B	Pennsylvania	Agent	Approved	08/06/2020
B	Rhode Island	Agent	Approved	08/06/2020
B	South Carolina	Agent	Approved	08/06/2020
B	South Dakota	Agent	Approved	08/06/2020
B	Tennessee	Agent	Approved	08/06/2020
B	Texas	Agent	Approved	08/06/2020
B	Utah	Agent	Approved	08/06/2020
B	Vermont	Agent	Approved	08/06/2020



Qualifications

Regulator	Registration	Status	Date
<b>B</b> Virginia	Agent	Approved	08/06/2020
<b>B</b> Washington	Agent	Approved	08/06/2020
<b>B</b> West Virginia	Agent	Approved	08/06/2020
<b>B</b> Wisconsin	Agent	Approved	08/06/2020
<b>B</b> Wyoming	Agent	Approved	08/06/2020

Branch Office Locations

**ADVICE AND PLANNING SERVICES**  
8500 ANDREW CARNEGIE BLVD.  
CHARLOTTE HUB  
CHARLOTTE, NC 28262

**ADVICE AND PLANNING SERVICES**  
Mooresville, NC






## 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 3 principal/supervisory exams, 2 general industry/product exams, and 2 state securities law exams.**



#### Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	01/25/2008
	Registered Options Principal Examination (S4)	Series 4	03/27/2003
	General Securities Principal Examination (S24)	Series 24	09/19/2002

#### General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	General Securities Representative Examination (S7)	Series 7	07/10/2000

#### State Securities Law Exams

	Exam	Category	Date
	Uniform Investment Adviser Law Examination (S65)	Series 65	05/10/2006
	Uniform Securities Agent State Law Examination (S63)	Series 63	09/09/2000

### 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	05/11/2006 - 12/14/2006	TIAA-CREF ADVICE AND PLANNING SERVICES	CRD# 20472	CHARLOTTE, NC
B	07/11/2000 - 10/24/2003	HARRIS INVESTOR SERVICES LLC	CRD# 42159	JERSEY CITY, NJ

### 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
10/2003 - Present	TIAA	Dir, Product Management	Y	CHARLOTTE, NC, United States
10/2003 - Present	TIAA-CREF INDIVIDUAL & INSTITUTIONAL SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	CHARLOTTE, NC, 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) RENTAL PROPERTIES

POSITION: My wife and I will own the properties NATURE: Rental properties. One is at 1775 Forest Side Lane, Charlotte NC 28262 and the other is not yet purchased. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 04/01/2016

ADDRESS: 176 Lavender Bloom Loop, Mooresville NC 28115

DESCRIPTION: I will be purchasing a 2nd rental property. The activity will consist of finding renters and maintaining the property when needed.

#### (2) HARPFIN PROPERTIES, LLC

POSITION: I am the agent of the LLC NATURE: Investment income is the primary nature of the business. INVESTMENT RELATED: Yes NUMBER OF HOURS: 1 SECURITIES TRADING HOURS: 0 START DATE: 05/28/2016

ADDRESS: Home Address, Mooresville NC 28117, United States

DESCRIPTION: The primary purpose of the LLC is for rental properties although we are also purchasing a small ownership stake in a local sports franchise. Rental is at 19823 Henderson Rd, Cornelius NCSports investment is Charlottetowne Hops FC



## End of Report

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