



IAPD Report

CHRISTOPHER JON MITCHELL

CRD# 4791416

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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 JON MITCHELL (CRD# 4791416)

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 **04/28/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018
IA	OSAIC WEALTH, INC.	CRD# 23131	11/02/2018

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **19** 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	SIGNATOR INVESTORS, INC.	468	DEVON, PA	02/17/2016 - 11/02/2018
B	SIGNATOR INVESTORS, INC.	468	DEVON, PA	02/04/2016 - 11/02/2018
B	AMERIPRISE FINANCIAL SERVICES, INC.	6363	WEST CHESTER, PA	03/19/2014 - 06/26/2015

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**
Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255
Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/02/2018
B	FINRA	Invest. Co and Variable Contracts	Approved	11/02/2018
B	Arizona	Agent	Approved	03/19/2025
B	Arkansas	Agent	Approved	03/25/2019
B	California	Agent	Approved	09/06/2019
B	Colorado	Agent	Approved	02/10/2020
B	Connecticut	Agent	Approved	03/16/2020
B	Delaware	Agent	Approved	11/02/2018
B	Florida	Agent	Approved	11/02/2018
IA	Florida	Investment Adviser Representative	Approved	09/25/2024
B	Illinois	Agent	Approved	06/13/2024
B	Louisiana	Agent	Approved	03/15/2023
B	Maryland	Agent	Approved	11/02/2018



Qualifications

Regulator	Registration	Status	Date
IA Maryland	Investment Adviser Representative	Approved	07/16/2020
B Massachusetts	Agent	Approved	03/12/2025
B New Jersey	Agent	Approved	11/02/2018
B New York	Agent	Approved	02/13/2021
B North Carolina	Agent	Approved	11/02/2018
B Pennsylvania	Agent	Approved	11/02/2018
IA Pennsylvania	Investment Adviser Representative	Approved	11/02/2018
B South Carolina	Agent	Approved	04/12/2019
B Tennessee	Agent	Approved	02/03/2026
B Texas	Agent	Approved	11/10/2019
IA Texas	Investment Adviser Representative	Restricted Approval	01/27/2020
B Virginia	Agent	Approved	07/30/2025

Branch Office Locations

OSAIC WEALTH, INC.
 BALA FINANCIAL GROUP
 208 OLD LANCASTER ROAD
 DEVON, PA 19333

OSAIC WEALTH, INC.
 Royersford, PA



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
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	05/23/2011
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/06/2004

State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	02/10/2016
 Uniform Securities Agent State Law Examination (S63)	Series 63	05/14/2004

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	02/17/2016 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	DEVON, PA
B	02/04/2016 - 11/02/2018	SIGNATOR INVESTORS, INC.	CRD# 468	DEVON, PA
B	03/19/2014 - 06/26/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WEST CHESTER, PA
IA	03/19/2014 - 06/26/2015	AMERIPRISE FINANCIAL SERVICES, INC.	CRD# 6363	WEST CHESTER, PA
B	05/07/2004 - 02/26/2014	VANGUARD MARKETING CORPORATION	CRD# 7452	MALVERN, PA

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
11/2018 - Present	OSAIC WEALTH, INC.	REGISTERED REP	Y	DEVON, PA, United States
02/2016 - 11/2018	SII	Reg Rep	Y	Devon, PA, 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)PA Public Notary, 1 Cameron Ct. Royersford, PA 19468, start 8/2010, approx 1 hr mo, 0 trading hrs.....
- 2)Rental property owner, Sunset South Unit 5
102 6th St. Ocean City, MD 21842, start 9/1/1998, approx 1 hr mo, 0 trading hrs.....
- 3)Knights of Columbus Member and Chief Counselor, St. Basil's Columbian Squires and KofC 2300 Kimberton Rd, Kimberton, PA 19442, start 5/2011, approx 4 hrs mo, 0 trading hrs.....
- 4)Insurance Broker: Life, Annuities, LTC, DI, Bala Financial Group 208 Old Lancaster Road Devon, PA 19333, start 2/2016, approx 10 hrs mo and 10 trading hrs.....
- 5)SUNSET SOUTH TOWNHOME/CONDOMINIUM ASSOCIATION
POSITION: Vice President NATURE: LLC INVESTMENT RELATED: Yes NUMBER OF HRS: 1 SECURITIES TRADING HRS: 0
START DATE: 04/26/16
ADDRESS: 102 6th St., Ocean City MD 21842
DESCRIPTION: Volunteer Position - President of the Sunset South Townhome/Condominium Association consist of 6 units total where I help serve as the President of the association to helpfacilitate annual meeting and equal participation in voting along with



Registration & Employment History



OTHER BUSINESS ACTIVITIES

the other owners if there is a specific motion brought up the regarding maintenance and rules for our association.

6) BALA FINANCIAL GROUP

POSITION: Registered Rep. - Financial Advisor NATURE: Corporation INVESTMENT RELATED: Yes NUMBER OF HRS: 160
SECURITIES TRADING HOURS: 130 START DATE: 02/04/16
ADDRESS: 208 Old Lancaster Road, Devon PA 19333
DESCRIPTION: Sales/Marketing of Securities and Insurance Products

7) CMITCHPITCH BASEBALL CONSULTANT

POS: Owner/Baseball Consultant NATURE: LLC INVESTMENT RELATED: No NUMBER OF HRS: 12 SECURITIES TRADING
HRS: 0 START DATE: 08/26/22
ADD: 1 Cameron Ct, Royersford PA 19468
DESC: Independent Baseball Consultant to Athletes, Teams, Coaches, Parents and/or Baseball Executives.

8) ASSOCIATION OF PROFESSIONAL BALL PLAYERS OF AMERICA, INC. (APBPA)

POS: Board Member NATURE: 501-C3 Charity Organization INVESTMENT RELATED: No NUMBER OF HRS: 33 SECURITIES
TRADING HRS: 7 START DATE: 04/17/26
ADD: 2810 N Church St, PMB 644343, Wilmington DE 64434
DESC: As President, I just facilitate the meetings for the 12 Member Board which will average 1 per month after business hours
unless time zone differences force a Zoom Meeting or phone or Face to face Meeting. There is no handling of any funds as there
is an independent third party firm that is hired to handle all Bookkeeping and Tax filing and cashflow management, No conflicts of
interest as no clients are currently members.
My prior role was Philly Chapter President that was approved.

9) SMWW AGENCY

POS: Agent Advisor NATURE: Corporation INVESTMENT RELATED: No NUMBER OF HRS: 10 SECURITIES TRADING HRS: 0
START DATE: 04/20/2023
ADD: 1100 NW Glisan St. Suite 2B, Portland OR 97209
DESC: Review Prospective and Current Professional Baseball and Football Players to determine what level of competence, skills,
abilities and other key areas may fit well into our Sports Agency. I may be assigned by the Certified Agent within the SMWW
Agency to evaluate and review the player's scouting profile to see if it matches my observations.

10) BASEBALL HOT STOVERS

POS: Facilitator NATURE: Local Community Based Group INVESTMENT RELATED: No NUMBER OF HOURS: 1 SECURITIES
TRADING HOURS: 0 START DATE: 11/18/2025
ADD: 153 Church St, Phoenixville PA 19460
DESC: Help lead and facilitate the quarterly baseball guest speaker meetings. Volunteer position.

11) C. MITCH PITCH SPORTS AGENCY LLC

POSITION: MLBPA Certified Agent NATURE: LLC - Solo Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 40
SECURITIES TRADING HOURS: 10 START DATE: 11/20/2025
ADDRESS: 611 South Dupont Highway Suite 102, Dover DE 19901
DESCRIPTION: Facilitate contract negotiations for MLB and MiLB Players. Sports agent consulting services to NFL Players and
occasionally other sports. I focus mostly on baseball players. Host meetings, fly to meet them, and at times furnish equipment for
their use in accordance with their contract stimulations.



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
Termination	1

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: AMERIPRISE FINANCIAL SERVICES, INC.

Termination Type: Discharged

Termination Date: 05/29/2015

Allegations: REGISTERED REPRESENTATIVE WAS TERMINATED BY SPONSORING ADVISOR BASED ON COMPANY POLICY VIOLATIONS RELATED TO ACCEPTANCE OF TRANSACTIONS FROM AN UNAUTHORIZED THIRD PARTY VIA EMAIL.

Product Type: Other: ACTIVE DIVERSIFIED PORTFOLIO

Reporting Source: Individual

Firm Name: Ameriprise Financial

Termination Type: Discharged

Termination Date: 05/29/2015

Allegations: Registered Representative was terminated by sponsoring Advisor based on company policy violations related to acceptance of transactions from an unauthorized third party via e-mail.

Product Type: Other: Managed Account Portfolio

Broker Statement I had received an e-mail from a client's (e-mail on file) in April 2015 requesting that he needed money from his account to be sent to a bank account. I had made an outcall, but his voicemail was full. I responded to client's e-mail requesting that I would need details for the request. I received an e-mail with the details, and I responded that we would require him to e-Sign a form through his secure access on www.ameriprise.com to authorize the request.



I pre-filled the form for the client to e-Sign based on the information provided. The client was already web registered, and he had previously used the e-signature process. The form for the request was pre-filled and sent to the client's secure web credentials for e-Signature to complete the request. Unfortunately, I discovered at a later date that the client's e-mail address account along with his Ameriprise web credentials had been hacked by a third party. As a result, I worked with the client and the Ameriprise corporate fraud analysts to research, work on next steps, made the client whole and provided best practices for protecting his identity. Although I had nothing to do with his e-mail nor his web credentials being hacked, the franchise advisor discharged me from employment for pre-filling the form based on the e-mail channel. My initial thought process was the secure web credentials was the authorization needed, however the franchise advisor made the decision that I should not rely solely on the secure web credentials as the authorization.



End of Report

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