



IAPD Report

CHRISTOPHER LE

CRD# 5029849

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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 LE (CRD# 5029849)

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 **05/06/2026**.

CURRENT EMPLOYERS

This individual is not currently registered as an Investment Adviser Representative.

QUALIFICATIONS

This individual is not currently registered as an Investment Adviser Representative.

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	PRIMERICA ADVISORS	10111	HOUSTON, TX	12/20/2023 - 05/05/2026
IA	PRIMERICA ADVISORS	10111	HOUSTON, TX	01/15/2022 - 03/04/2022
IA	PRIMERICA ADVISORS	10111	HOUSTON, TX	10/20/2020 - 12/31/2021

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
Judgment/Lien	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 not currently registered as an Investment Adviser Representative.



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, 0 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
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No information reported.

General Industry/Product Exams

Exam	Category	Date
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No information reported.

State Securities Law Exams

Exam	Category	Date
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IA

Uniform Investment Adviser Law Examination (S65)

Series 65

10/24/2018



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
IA	12/20/2023 - 05/05/2026	PRIMERICA ADVISORS	CRD# 10111	HOUSTON, TX
IA	01/15/2022 - 03/04/2022	PRIMERICA ADVISORS	CRD# 10111	HOUSTON, TX
IA	10/20/2020 - 12/31/2021	PRIMERICA ADVISORS	CRD# 10111	HOUSTON, TX

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
03/2020 - Present	PFS INVESTMENTS INC.	SALES	Y	HOUSTON, TX, United States
12/2003 - Present	PRIMERICA FINANCIAL SERVICES	SALES	Y	HOUSTON, TX, United States
06/2018 - 07/2019	BEST ACQUISITION REALTY	BUSINESS ANALYST	N	HOUSTON, TX, United States
11/2017 - 05/2018	PRUCO SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	HOUSTON, TX, United States
05/2017 - 10/2017	ELITE STRATEGIC NETWORK LLC	BUSINESS ANALYST	N	HOUSTON, TX, United States
01/2014 - 04/2017	UNIVERSITY OF TEXAS MEDICAL BRANCH- GALVESTON	FINANCIAL ANALYST	N	GALVESTON, TX, 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.

Sales of investment-related products; part-time or full-time, for companies affiliated with PFS Investments Inc. I may also receive non-investment related compensation from Primerica Mortgage, LLC for the sale of loan products and/or Primerica Client Services, Inc. (a co-located affiliate of PFS Investments Inc.) for part-time referrals of home security and automation products, as well as other home related services.

Allbiz Wholesale Group, LLC, President, Director, Owner, 03/24/2022 to present, business is non-operational, entity remains active with the Texas Secretary of State, Friendswood, TX 77549, Not Investment Related, 2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.



Registration & Employment History



OTHER BUSINESS ACTIVITIES

Alpha Investment Team, LLC., Director, Owner, 09/26/2019 to present, business is non-operational, entity remains active with the Texas Secretary of State, Friendswood, TX 77549, Not Investment Related, 2-3 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.

Best Acquisition Realty LLC, Director and Interim President, (entity active since 07/17/2013; rep start date 09/2019 to present), Friendswood, TX 77549, Not Investment Related, 2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.

Elite Strategic Network Co, Director and VP, 02/24/2012 to present, business is non-operational, entity remains active with the Texas Secretary of State, Friendswood, TX 77549, Not Investment Related, 1-2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.

Icare Consulting Group, LLC, President, Director, Registered Agent, Owner, 11/21/2022 to present, business is non-operational, entity remains active with the Texas Secretary of State, Friendswood, TX 77549, Not Investment Related, 1-2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.

Lecare Financial Group, LLC, Registered Agent, Director, Managing M, 11/27/2018 to present, business is non-operational, entity remains active with the Texas Secretary of State, Friendswood, TX 77549, Not Investment Related, 2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.

Lecare Insurance Agency LLC, Director, 07/24/2017 to present, Friendswood, TX 77549, Not Investment Related, 2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.

Lecare Taxsaving Group, LLC, Registered Agent, President, and Director, Partner, 11/27/2018 to present, business is non-operational, entity remains active with the Texas Secretary of State, Friendswood, TX 77549, Not Investment Related, 2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.

Professional Tax Center LLC, Registered Agent, Managing M, and Director, Owner, 03/07/2014 to present, tax business handling filing of individual and business income taxes (both federal and state), Friendswood, TX 77549, Not Investment Related, 40 hours per month (30 hours per month during securities trading hours)

Special Staffing Agency LLC, Registered Agent, Managing M, and Director, 09/14/2021 to present, business is non-operational, entity remains active with the Texas Secretary of State, Friendswood Friendswood, TX 77549, Not Investment Related, 2 hours per year (0 hours per year during securities trading hours) devoted for filing taxes and secretary of state documents.



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
Judgment/Lien	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:	PFS INVESTMENTS INC.
Termination Type:	Permitted to Resign
Termination Date:	05/01/2026
Allegations:	THE REPRESENTATIVE WAS PERMITTED TO RESIGN FOLLOWING THE FIRM BECOMING AWARE THAT THE REPRESENTATIVE FAILED TO DISCLOSE OUTSIDE BUSINESS ACTIVITIES AND OUTSIDE BROKERAGE ACCOUNTS, AS REQUIRED BY FIRM POLICY AND FINRA RULES.
Product Type:	No Product



Judgment/Lien

This disclosure event involves an unsatisfied and outstanding judgment or lien against the Investment Adviser Representative.

Disclosure 1 of 1

Reporting Source:	Individual
Judgment/Lien Holder:	PORTFOLIO RECOVERY
Judgment/Lien Amount:	\$4,980.37
Judgment/Lien Type:	Civil
Date Filed with Court:	06/23/2020
Date Individual Learned:	01/26/2021
Type of Court:	State Court
Name of Court:	HARRIS COUNTY COURT
Location of Court:	HARRIS, TEXAS
Docket/Case #:	192200189630
Judgment/Lien Outstanding?	Yes
Broker Statement	IN PROCESS OF RESOLVING THE ISSUE



End of Report

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