IAPD Report

Christopher R Ruiz

CRD# 5481112

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 R Ruiz (CRD# 5481112)

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 **07/01/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	EDWARD JONES	CRD# 250	02/19/2025
IA	EDWARD JONES	CRD# 250	03/03/2025

QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **6** 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	J.P. MORGAN SECURITIES LLC	79	Tempe, AZ	03/04/2024 - 05/25/2024
B	J.P. MORGAN SECURITIES LLC	79	Tempe, AZ	02/29/2024 - 05/25/2024
B	MORGAN STANLEY	149777	Tempe, AZ	11/09/2022 - 06/09/2023

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? **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 **6** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Address: 12555 MANCHESTER RD
ST. LOUIS, MO 63131

Firm ID#: 250

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	02/19/2025
B	FINRA	Invest. Co and Variable Contracts	Approved	02/19/2025
B	FINRA	General Securities Principal	Approved	05/01/2025
B	FINRA	General Securities Sales Supervisor	Approved	05/12/2025
B	NYSE American LLC	General Securities Representative	Approved	02/19/2025
B	NYSE American LLC	General Securities Principal	Approved	05/01/2025
B	NYSE American LLC	General Securities Sales Supervisor	Approved	05/12/2025
B	Nasdaq Stock Market	General Securities Representative	Approved	02/19/2025
B	Nasdaq Stock Market	General Securities Principal	Approved	05/01/2025
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	05/12/2025
B	New York Stock Exchange	General Securities Representative	Approved	02/19/2025
B	New York Stock Exchange	General Securities Principal	Approved	05/01/2025
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	05/12/2025

Qualifications

	Regulator	Registration	Status	Date
B	Arizona	Agent	Approved	03/03/2025
IA	Arizona	Investment Adviser Representative	Approved	03/03/2025
B	Arkansas	Agent	Approved	03/10/2025
B	Massachusetts	Agent	Approved	02/20/2025
B	Oklahoma	Agent	Approved	03/31/2026
B	Utah	Agent	Approved	02/20/2025
B	Washington	Agent	Approved	04/06/2026

Branch Office Locations

EDWARD JONES
8620 SOUTH RIVER PARKWAY
TEMPE, AZ 85284

EDWARD JONES
Eloy, AZ

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, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Sales Supervisor - General Module Examination (S10)	Series 10	05/10/2025
B	General Securities Principal Examination (S24)	Series 24	05/01/2025
B	General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	04/09/2025

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	09/19/2018
B	General Securities Representative Examination (S7)	Series 7	04/23/2012
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/22/2008

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	02/01/2013
B	Uniform Securities Agent State Law Examination (S63)	Series 63	09/11/2008

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	03/04/2024 - 05/25/2024	J.P. MORGAN SECURITIES LLC	CRD# 79	Tempe, AZ
B	02/29/2024 - 05/25/2024	J.P. MORGAN SECURITIES LLC	CRD# 79	Tempe, AZ
B	11/09/2022 - 06/09/2023	MORGAN STANLEY	CRD# 149777	Tempe, AZ
IA	11/09/2022 - 06/09/2023	MORGAN STANLEY	CRD# 149777	Tempe, AZ
IA	11/19/2021 - 10/21/2022	SAGEPOINT FINANCIAL, INC.	CRD# 133763	PHOENIX, AZ
B	11/18/2021 - 10/21/2022	SAGEPOINT FINANCIAL, INC.	CRD# 133763	SCOTTSDALE, AZ
B	11/12/2020 - 10/29/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHANDLER, AZ
IA	11/12/2020 - 10/29/2021	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	CHANDLER, AZ
B	04/23/2019 - 09/30/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	PHOENIX, AZ
IA	04/23/2019 - 09/30/2020	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	PHOENIX, AZ
IA	08/28/2015 - 09/19/2018	EDWARD JONES	CRD# 250	Chandler, AZ
B	08/25/2015 - 09/19/2018	EDWARD JONES	CRD# 250	ST. LOUIS, MO
IA	02/14/2013 - 07/14/2015	EDWARD JONES	CRD# 250	TEMPE, AZ
B	04/24/2012 - 07/14/2015	EDWARD JONES	CRD# 250	TEMPE, AZ
B	11/06/2009 - 12/06/2010	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	GILBERT, AZ
B	08/25/2008 - 10/23/2009	HORACE MANN INVESTORS INC	CRD# 11643	GILBERT, AZ

Registration & Employment History

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
02/2025 - Present	Edward Jones	Field Supervision Officer	Y	St Louis, MO, United States
05/2024 - Present	Self-employed	Owner	N	Phoenix, AZ, United States
02/2024 - 05/2024	JP Morgan Securities LLC	Registered Representative	Y	Tempe, AZ, United States
02/2024 - 05/2024	JPMorgan Chase Bank NA	Virtual Banking Assistant III	Y	Tempe, AZ, United States
06/2023 - 01/2024	Unemployed	n/a	N	Phoenix, AZ, United States
10/2022 - 05/2023	MORGAN STANLEY	Registered SR Specalist	Y	Tempe, AZ, United States
11/2021 - 10/2022	Advisor Group	Advisor Support Specialist	Y	Phoenix, AZ, United States
09/2020 - 10/2021	MERRILL LYNCH	Financial Solutions Advisor	Y	CHANDLER, AZ, United States
04/2019 - 09/2020	Wells Fargo Bank NA	Personal Banker	Y	Phoenix, AZ, United States
11/2018 - 02/2019	Answer Financial	Insurance agent	N	Ventura, CA, United States
05/2011 - 08/2018	EDWARD JONES	BOA DEVELOPMENT SPECIALIST	Y	TEMPE, AZ, 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.

No information reported.

End of Report

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