IAPD Report

Christopher William Campbell

CRD# 5597534

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 William Campbell (CRD# 5597534)

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 **07/02/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	RAYMOND JAMES FINANCIAL SERVICES, INC.	CRD# 6694	11/06/2017
IA	RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC	CRD# 149018	11/10/2017

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **39** 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	WADDELL & REED	866	SHERMAN OAKS, CA	05/10/2016 - 11/03/2017
B	WADDELL & REED	866	SHERMAN OAKS, CA	05/09/2016 - 11/03/2017

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
Customer Dispute	2

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

Employment 1 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES, INC.**

Main Address: 880 CARILLON PARKWAY
ST. PETERSBURG, FL 33716

Firm ID#: 6694

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	11/06/2017
B	Alabama	Agent	Approved	04/25/2024
B	Alaska	Agent	Approved	04/25/2024
B	Arizona	Agent	Approved	12/19/2023
B	California	Agent	Approved	11/06/2017
B	Colorado	Agent	Approved	04/25/2024
B	Connecticut	Agent	Approved	01/27/2023
B	Delaware	Agent	Approved	08/18/2021
B	District of Columbia	Agent	Approved	10/01/2019
B	Florida	Agent	Approved	08/07/2019
B	Georgia	Agent	Approved	04/28/2021
B	Hawaii	Agent	Approved	04/29/2021
B	Illinois	Agent	Approved	12/13/2023

Qualifications

	Regulator	Registration	Status	Date
B	Indiana	Agent	Approved	04/02/2026
B	Kansas	Agent	Approved	01/23/2025
B	Kentucky	Agent	Approved	09/11/2025
B	Maine	Agent	Approved	05/22/2024
B	Maryland	Agent	Approved	04/25/2024
B	Massachusetts	Agent	Approved	05/04/2020
B	Michigan	Agent	Approved	08/23/2023
B	Minnesota	Agent	Approved	12/26/2024
B	Montana	Agent	Approved	01/27/2025
B	Nevada	Agent	Approved	08/07/2019
B	New Hampshire	Agent	Approved	04/25/2024
B	New Jersey	Agent	Approved	08/16/2023
B	New Mexico	Agent	Approved	04/25/2024
B	New York	Agent	Approved	08/07/2019
B	North Carolina	Agent	Approved	03/04/2021
B	Ohio	Agent	Approved	04/25/2024
B	Oregon	Agent	Approved	09/09/2019
B	Pennsylvania	Agent	Approved	08/07/2019
B	Rhode Island	Agent	Approved	04/25/2024

Qualifications

	Regulator	Registration	Status	Date
B	South Carolina	Agent	Approved	08/07/2019
B	Tennessee	Agent	Approved	11/03/2022
B	Texas	Agent	Approved	08/16/2019
B	Utah	Agent	Approved	02/18/2021
B	Vermont	Agent	Approved	12/18/2023
B	Virginia	Agent	Approved	08/07/2019
B	Washington	Agent	Approved	08/07/2019
B	Wisconsin	Agent	Approved	04/25/2024

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES
434 Delaware Ave
Buffalo, NY 14202

Employment 2 of 2

Firm Name: **RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC**

Main Address: 880 CARILLON PARKWAY
SAINT PETERSBURG, FL 33716

Firm ID#: 149018

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	11/13/2017
IA	New York	Investment Adviser Representative	Approved	04/20/2021
IA	Texas	Investment Adviser Representative	Approved	08/16/2019

Branch Office Locations

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC

Qualifications

434 Delaware Avenue
Buffalo, NY 14202

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

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	05/09/2016

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	03/31/2016

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	05/10/2016 - 11/03/2017	WADDELL & REED	CRD# 866	SHERMAN OAKS, CA
B	05/09/2016 - 11/03/2017	WADDELL & REED	CRD# 866	SHERMAN OAKS, CA

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
11/2017 - Present	Raymond James Financial Services Advisors Inc.	Investment Adviser Rep	Y	TORRANCE, CA, United States
11/2017 - Present	Raymond James Financial Services, Inc.	Financial Advisor	Y	TORRANCE, CA, United States
03/2016 - 11/2017	Waddell & Reed Inc	Associated Person	Y	TORRANCE, 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.

(1) Name of Business: Address: 827 Bird Ave, Buffalo, NY, 14209, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 08/11/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Consult with my wife who manages the property and tenants of the duplex.
(2) Name of Business: 6506 E. Quaker RE, LLC Address: 6506 E. Quaker St, Orchard Park, NY, 14127, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 03/20/2022 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: 45% owner of the LLC which owns the property. Travis Alexander is managing member and co-owner at 55%.
(3) Name of Business: BGA Insurance Address: 434 Delaware Ave, Buffalo, NY, 14202-1534, United States Activity Type: Non-variable Insurance Position/Title: Broker Investment Related: Yes Start Date: 11/30/2022 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Write fixed insurance thru BGA as my broker
(4) Name of Business: CamFam Holdings, LLC Address: 827 Bird Ave, Buffalo, NY, 14209, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: No Start Date: 06/30/2022 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: My wife is the managing member of the entity. I have access to the entities bank account for bill payments.
(5) Name of Business: CamFam Holdings, LLC Address: 20 Lakeridge South Dr, Orchard Park, NY, 14127, United States Activity Type: Rental Real Estate Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 07/15/2025 Hours per month devoted to this business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Property maintenance as needed. Pay utility and tax bills.
(6) Name of Business: Lumen Wealth Group Address: 434 Delaware Ave, Buffalo, NY, 14202, United States Activity Type: Support Company - Owner Position/Title: Other Investment Related: No Start Date: 11/08/2017 Hours per month devoted to this

Registration & Employment History

OTHER BUSINESS ACTIVITIES

business: 0-1 Hours per month devoted to this business during trading hours: 0-1 Description of duties: I do my Raymond James Financial Advising practice under the name Lumen Wealth Group. This is just a DBA.
(7) Name of Business: Noble Wealth Partners Affiliate Holdings, LLC Address: 434 Delaware Ave, Buffalo, NY, 14202-1534, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 12/31/2025 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Oversee all aspects of day-to-day business, financials, growth and development.
(8) Name of Business: Noble Wealth Partners, Inc Address: 434 Delaware Ave, Buffalo, NY, 14202, United States Activity Type: Support Company - Owner Position/Title: Officer - CEO Investment Related: No Start Date: 02/28/2023 Hours per month devoted to this business: 21-40 Hours per month devoted to this business during trading hours: 21-40 Description of duties: Oversee all aspects of day-to-day business, financials, growth and development.
(9) Name of Business: R49 Capital, LLC. Address: 20 Lakeridge South Dr., Orchard Park, NY, 14127, United States Activity Type: Business Owner Position/Title: Owner/Proprietor Investment Related: Yes Start Date: 06/25/2026 Hours per month devoted to this business: 2-10 Hours per month devoted to this business during trading hours: 0-1 Description of duties: Sole owner of the entity set up as a holding company that will own a commercial real estate property.

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
Customer Dispute	2

Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

Disclosure 1 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	Plaintiff alleges investing in a real estate investment based on FAs' misrepresentations.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$282,434.75

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-01503
Date Notice/Process Served:	08/12/2025
Arbitration Pending?	Yes

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Superior Court of California, South Division, Los Angeles
Location of Court:	Los Angels, CA
Docket/Case #:	24LBCV02340
Date Notice/Process Served:	11/14/2024

Litigation Pending?	Yes
Broker Statement	I have never spoken to, solicited, had any communication with, or opened accounts for or with these Plaintiffs. If the Plaintiffs worked with an advisor who misrepresented them, it was not me. The allegations made against me are unwarranted, egregious, untrue, and misconstrued. I look forward to corroborating my statements and expect a dismissal from any and all unfair claims made against me which have misrepresented my character and integrity as a person and an advisor. "The litigation is currently stayed, and the customer has chosen to move forward through arbitration."

Disclosure 2 of 2

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	RAYMOND JAMES FINANCIAL SERVICES, INC.
Allegations:	Plaintiffs allege investing in a real estate investment based on FAs' misrepresentations.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	$282,537.50

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	25-01502
Date Notice/Process Served:	08/12/2025
Arbitration Pending?	Yes

Civil Litigation Information

Type of Court:	State Court
Name of Court:	Superior Court of California, South Division, Los Angeles
Location of Court:	Los Angels, CA
Docket/Case #:	24LBCV02342
Date Notice/Process Served:	11/14/2024
Litigation Pending?	Yes
Broker Statement	I have never spoken to, solicited, had any communication with, or opened accounts for or with these Plaintiffs. If the Plaintiffs worked with an advisor who misrepresented them, it was not me. The allegations made against me are unwarranted, egregious, untrue, and misconstrued. I look forward to corroborating my statements and expect a dismissal from any and all unfair claims made against me which have misrepresented my character and integrity as a person and an advisor. "The litigation is currently stayed, and the customer has chosen to move forward through arbitration."

End of Report

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