



## IAPD Report

### Christopher Ryan Tooker

CRD# 6388116

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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 Ryan Tooker (CRD# 6388116)

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 **01/07/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	M HOLDINGS SECURITIES, INC.	CRD# 43285	08/26/2024
<b>IA</b>	HUB INVESTMENT ADVISORS, INC	CRD# 164600	09/09/2024
<b>B</b>	HUB INTERNATIONAL INVESTMENT SERVICES INC.	CRD# 150252	12/11/2024
<b>IA</b>	HUB INVESTMENT PARTNERS, LLC	CRD# 307956	01/06/2026

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **7** 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>B</b>	CETERA ADVISOR NETWORKS LLC	13572	OMAHA, NE	02/09/2023 - 07/25/2024
<b>IA</b>	CWM, LLC	155344	Omaha, NE	01/23/2023 - 07/24/2024
<b>IA</b>	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	2881	Omaha, NE	03/18/2019 - 11/03/2022

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:



## Report Summary

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

#### Employment 1 of 4

Firm Name: **HUB INVESTMENT PARTNERS, LLC**

Main Address: 900 S. CAPITAL OF TX HIGHWAY  
SUITE 350  
AUSTIN, TX 78746

Firm ID#: 307956

Regulator	Registration	Status	Date	
IA	Nebraska	Investment Adviser Representative	Approved	01/12/2026
IA	New Jersey	Investment Adviser Representative	Approved	01/07/2026
IA	South Dakota	Investment Adviser Representative	Approved	01/13/2026
IA	Texas	Investment Adviser Representative	Restricted Approval	01/06/2026

#### Branch Office Locations

**HUB INVESTMENT PARTNERS, LLC**

11516 Miracle Hills Drive, Suite 100  
Omaha, NE 68154

#### Employment 2 of 4

Firm Name: **HUB INTERNATIONAL INVESTMENT SERVICES INC.**

Main Address: 900 S CAPITAL OF TX HIGHWAY  
SUITE 350  
AUSTIN, TX 78746

Firm ID#: 150252

Regulator	Registration	Status	Date	
B	FINRA	General Securities Representative	Approved	12/11/2024

#### Branch Office Locations



## Qualifications

### HUB INTERNATIONAL INVESTMENT SERVICES INC. (HIIS)

11516 Miracle Hills Drive  
Suite 100  
Omaha, NE 68154

#### Employment 3 of 4

Firm Name: **HUB INVESTMENT ADVISORS, INC**

Main Address: 11516 MIRACLE HILLS DR.  
SUITE 100  
OMAHA, NE 68154

Firm ID#: 164600

Regulator	Registration	Status	Date	
IA	California	Investment Adviser Representative	Approved	10/14/2024
IA	Nebraska	Investment Adviser Representative	Approved	09/09/2024
IA	New Mexico	Investment Adviser Representative	Approved	09/10/2024
IA	North Dakota	Investment Adviser Representative	Approved	09/16/2024
IA	South Dakota	Investment Adviser Representative	Approved	09/10/2024

#### Branch Office Locations

### HUB INVESTMENT ADVISORS, INC

11516 MIRACLE HILLS DR.  
SUITE 100  
OMAHA, NE 68154

#### Employment 4 of 4

Firm Name: **M HOLDINGS SECURITIES, INC.**

Main Address: 1125 N.W. COUCH STREET  
SUITE 900  
PORTLAND, OR 97209

Firm ID#: 43285

Regulator	Registration	Status	Date	
B	FINRA	General Securities Representative	Approved	08/26/2024
B	Nebraska	Agent	Approved	08/26/2024



## Qualifications

### Branch Office Locations

**M HOLDINGS SECURITIES, INC.**  
11516 MIRACLE HILLS DRIVE  
SUITE 100  
OMAHA, NE 68154



## 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
 Securities Industry Essentials Examination (SIE)	SIE	09/28/2018
 General Securities Representative Examination (S7)	Series 7	10/16/2014

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	11/10/2014

### 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
	02/09/2023 - 07/25/2024	CETERA ADVISOR NETWORKS LLC	CRD# 13572	OMAHA, NE
	01/23/2023 - 07/24/2024	CWM, LLC	CRD# 155344	Omaha, NE
	03/18/2019 - 11/03/2022	NORTHWESTERN MUTUAL INVESTMENT SERVICES,LLC	CRD# 2881	Omaha, NE
	02/26/2019 - 11/03/2022	NORTHWESTERN MUTUAL INVESTMENT SERVICES, LLC	CRD# 2881	Omaha, NE
	11/12/2014 - 09/28/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	OMAHA, NE
	10/17/2014 - 09/28/2018	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	CRD# 7691	OMAHA, NE

### 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
01/2026 - Present	University of Nebraska Omaha	Adjunct Instructor	N	Omaha, NE, United States
12/2025 - Present	HUB Investment Partners, LLC	Investment Advisor Representative	Y	Austin, TX, United States
12/2024 - Present	HUB International Investment Services	Registered Representative	Y	Kansas City, MO, United States
07/2024 - Present	HUB International Great Plains, LLC	Education Consultant and Wealth Advisor	Y	Omaha, NE, United States
07/2024 - Present	HUB Investment Advisors, Inc.	Investment Adviser Representative	Y	Omaha, NE, United States
07/2024 - Present	M Holdings Securities, Inc.	Registered Representative	Y	Portland, OR, United States
01/2024 - Present	College for Financial Planning - A Kaplan Company	Instructor	N	Centennial, CO, United States
02/2023 - 07/2024	Cetera Advisor Networks	REGISTERED REPRESENTATIVE	Y	EL SEGUNDO, CA, United States
12/2022 - 07/2024	CWM, LLC DBA CARSON GROUP HOLDINGS	RETIREMENT PLAN ADVISOR	Y	OMAHA, NE, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
08/2014 - 05/2023	CREIGHTON UNIVERSITY	ADJUNCT PROFESSOR	N	OMAHA, NE, United States
01/2019 - 10/2022	Northwestern Mutual Investment Services LLC	Registered Representative	Y	Omaha, NE, United States
08/2014 - 09/2018	Bank of America Merrill Lynch	Financial Advisor	Y	Omaha, NE, 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. KIWANIS CLUB OF OMAHA FOUNDATION, NOT INVESTMENT RELATED; 13325 HILLSBOROUGH DRIVE, OMAHA, NE 68164; KIWANIS CLUB; 10/2022; VICE PRESIDENT; 4 HOURS PER MONTH, 0 HOURS PER MONTH DURING TRADING HOURS; CONDUCT SEMI-ANNUAL INVESTMENT REVIEW MEETINGS AND MAKE RECOMMENDATIONS TO THE KIWANIS CLUB OF OMAHA BOARD OF DIRECTORS ON MATTERS SUCH AS INVESTMENT ALLOCATION, ADVISORY FEES, AND SUSTAINABLE WITHDRAWAL RATES.
2. DOWNTOWN OMAHA ROTARY CLUB; NOT INVESTMENT RELATED; 1616 DODGE STREET, OMAHA, NE 68102; ROTARY CLUB; 07/2022 ; IMMEDIATE PAST PRESIDENT; 4 HOURS PER MONTH, 0 HOURS PER MONTH DURING TRADING HOURS; CONDUCT SEMI-ANNUAL INVESTMENT REVIEW MEETINGS AND MAKE RECOMMENDATIONS TO THE ROTARY CLUB OF OMAHA BOARD OF DIRECTORS ON MATTERS SUCH AS INVESTMENT ALLOCATION, ADVISORY FEES, AND SUSTAINABLE WITHDRAWAL RATES.
3. KAPLAN - COLLEGE FOR FINANCIAL PLANNING; NOT INVESTMENT RELATED; 9000 E NICHOLS AVE #200, CENTENNIAL, CO 80112; HIGHER EDUCATION; 08/2024; INSTRUCTOR; 20 HOURS PER MONTH; 0 HOURS PER MONTH DURING TRADING HOURS; ENGAGE STUDENTS IN DIALOGUE RELATED TO BEHAVIOR FINANCE AND CLIENT PSYCHOLOGY; FACILITATE AND MONITOR ONLINE DISCUSSION FORUMS; GRADE PAPERS, QUIZZES, AND ASSIGNMENTS
4. HUB INTERNATIONAL GREAT PLAINS; INVESTMENT RELATED; 11516 MIRACLE HILLS DRIVE, OMAHA, NE 68154; FINANCIAL PLANNING; WEALTH ADVISOR AND EDUCATION CONSULTANT; ONE ON ONE CONSULTATIONS AND GROUP PRESENTATION; 07/29/2024; 160 HOURS PER MONTH; 160 HOURS PER MONTH DURING TRADING HOURS.
5. M HOLDINGS SECURITIES, INC.; INVESTMENT RELATED; 1125 NW COUCH STREET #900, PORTLAND, OR 97209; BUSINESS: REGISTERED BROKER-DEALER; REGISTERED REPRESENTATIVE; 7/2024; 20 HOURS PER MONTH; 20 HOURS PER MONTH DURING BUSINESS HOURS; ENTITY IS MY BROKER-DEALER.
6. HUB INTERNATIONAL INVESTMENT SERVICES, INC.; INVESTMENT RELATED; 9200 WARD PARKWAY, SUITE 500, KANSAS CITY, MO 64114; ACCOMMODATION BROKER-DEALER; REGISTERED REPRESENTATIVE; 12/2024; 0 HOURS PER MONTH; 0 HOURS PER MONTH DURING BUSINESS HOURS; ENTITY IS MY ACCOMMODATION BROKER-DEALER.
7. HUB INVESTMENT PARTNERS, LLC; 900 S. CAPITAL OF TX HIGHWAY, SUITE 300, AUSTIN, TX 78746; FINANCIAL PLANNING; WEALTH ADVISOR AND EDUCATION CONSULTANT; ONE ON ONE CONSULTATIONS AND GROUP PRESENTATION; 12/14/2025; EDUCATION CONSULTANT AND WEALTH ADVISOR; 160 HOURS PER MONTH; 160 HOURS PER MONTH DURING TRADING HOURS.



## Registration & Employment History

### OTHER BUSINESS ACTIVITIES

8. HUB INVESTMENT ADVISOR, INC; 11516 MIRACLE HILLS, DR, SUITE 100, OMAHA, NE 68154; FINANCIAL PLANNING; WEALTH ADVISOR AND EDUCATION CONSULTANT; ONE ON ONE CONSULTATIONS AND GROUP PRESENTATION; 7/2024; EDUCATION CONSULTANT AND WEALTH ADVISOR; 160 HOURS PER MONTH; 160 HOURS PER MONTH DURING TRADING HOURS.

9. UNIVERSITY OF NEBRASKA OMAHA; NO; 601 DODGE ST, OMAHA, NE 68182; ADJUNCT INSTRUCTOR; 1/12/2026; 20 HRS PER MONTH; 0 HRS PER MONTH DURING TRADING HOURS; TEACH THE INSURANCE PLANNING COURSE FOR THE CFP CURRICULUM.



## 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

<b>Reporting Source:</b>	Firm
<b>Firm Name:</b>	Merrill Lynch, Pierce, Fenner & Smith Incorporated
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	09/17/2018
<b>Allegations:</b>	Sharing confidential information with an unauthorized party.
<b>Product Type:</b>	No Product

<b>Reporting Source:</b>	Individual
<b>Firm Name:</b>	Bank of America Merrill Lynch
<b>Termination Type:</b>	Discharged
<b>Termination Date:</b>	09/17/2018
<b>Allegations:</b>	Sharing confidential information with an unauthorized party.
<b>Product Type:</b>	No Product
<b>Broker Statement</b>	I reported unethical actions I witnessed to FINRA and the SEC through their whistleblower program. You can read about the conflicts of interest, excessive fees, and imprudent fiduciary decisions I reported in the Omaha World Herald Article "Omaha Home for Boys Pays Big Fees, Has Yet to See Big Returns." Unfortunately, Merrill Lynch did not honor my whistleblower status when they terminated me for sharing supporting documents.



## End of Report

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