



## IAPD Report

### Christian Shipman

CRD# 6616444

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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

### Christian Shipman (CRD# 6616444)

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 **05/27/2025**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	05/27/2025
IA	COMMONWEALTH FINANCIAL NETWORK	CRD# 8032	05/27/2025

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **1** 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	CETERA ADVISOR NETWORKS LLC	13572	WEST DES MOINES, IA	06/25/2024 - 05/16/2025
B	CETERA ADVISORS LLC	10299	WEST DES MOINES, IA	06/25/2024 - 05/16/2025
B	CETERA FINANCIAL SPECIALISTS LLC	10358	WEST DES MOINES, IA	06/25/2024 - 05/16/2025

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

#### Employment 1 of 1

Firm Name: **COMMONWEALTH FINANCIAL NETWORK**

Main Address: 275 WYMAN STREET  
SUITE 400  
WALTHAM, MA 02451-1200

Firm ID#: 8032

Regulator	Registration	Status	Date
 FINRA	General Securities Principal	Approved	05/27/2025
 FINRA	General Securities Representative	Approved	05/27/2025
 Iowa	Agent	Approved	05/27/2025
 Iowa	Investment Adviser Representative	Approved	05/27/2025

#### Branch Office Locations

##### **COMMONWEALTH FINANCIAL NETWORK**

6701 Westown Parkway  
Suite 260  
West Des Moines, IA 50266



## 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 1 principal/supervisory exam, 2 general industry/product exams, and 1 state securities law exam.**

#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Principal Examination (S24)	Series 24	11/17/2023

#### General Industry/Product Exams

Exam	Category	Date
 General Securities Representative Examination (S7TO)	Series 7TO	01/21/2023
 Securities Industry Essentials Examination (SIE)	SIE	07/06/2022

#### State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	04/28/2023

### PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration & Employment History

### PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	06/25/2024 - 05/16/2025	CETERA ADVISOR NETWORKS LLC	CRD# 13572	WEST DES MOINES, IA
B	06/25/2024 - 05/16/2025	CETERA ADVISORS LLC	CRD# 10299	WEST DES MOINES, IA
B	06/25/2024 - 05/16/2025	CETERA FINANCIAL SPECIALISTS LLC	CRD# 10358	WEST DES MOINES, IA
IA	06/25/2024 - 05/16/2025	CETERA INVESTMENT ADVISERS LLC	CRD# 105644	WEST DES MOINES, IA
B	06/25/2024 - 05/16/2025	CETERA INVESTMENT SERVICES LLC	CRD# 15340	WEST DES MOINES, IA
IA	05/01/2023 - 04/17/2024	PRINCIPAL SECURITIES, INC.	CRD# 1137	DES MOINES, IA
B	01/23/2023 - 04/17/2024	PRINCIPAL SECURITIES, INC.	CRD# 1137	DES MOINES, IA

### 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
05/2025 - Present	Bral Niedert Private Wealth Advisors	Staff Member	Y	West Des Moines, IA, United States
05/2025 - Present	Commonwealth Financial Network	Registered Staff Member	Y	Waltham, MA, United States
04/2024 - 05/2025	CETERA ADVISER NETWORKS LLC	Specialty Operations Supervisor	Y	EL SEGUNDO, CA, United States
04/2024 - 05/2025	CETERA ADVISORS LLC	Specialty Operations Supervisor	Y	GREENWOOD VILLAGE, CO, United States
04/2024 - 05/2025	CETERA FINANCIAL SPECIALISTS LLC	Specialty Operations Supervisor	Y	SCHAUMBURG, IL, United States
04/2024 - 05/2025	CETERA INVESTMENT ADVISORS LLC	Specialty Operations Supervisor	Y	W DES MOINES, IA, United States
04/2024 - 05/2025	CETERA INVESTMENT SERVICES LLC	Specialty Operations Supervisor	Y	ST CLOUD, MN, United States
09/2022 - 04/2024	PRINCIPAL SECURITIES INC	REGISTERED REPRESENTATIVE	Y	DES MOINES, IA, United States



## Registration & Employment History

### EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2020 - 04/2024	PRINCIPAL LIFE INSURANCE COMPANY	BROKERAGE ASSOCIATE	Y	DES MOINES, IA, United States
03/2018 - 02/2020	ADVISOR GROUP	OPERATIONS SPECIALIST	Y	PHOENIX, AZ, United States
03/2016 - 02/2020	CAMBRIDGE INVESTMENT RESEARCH	ONBOARDING SPECIALIST	Y	FAIRFIELD, IA, United States
01/2014 - 03/2016	TRANSAMERICA	CUSTOMER SERVICE	Y	CEDAR RAPIDS, IA, 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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