

## BrokerCheck Report

**DEREK CHOW**

CRD# 1348825

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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.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

[brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

[For more information about FINRA, visit www.finra.org.](http://www.finra.org)

**DEREK CHOW**

CRD# 1348825

**Currently employed by and registered with the following Firm(s):**

**IA STRATEGIC ADVISERS LLC**  
BOULDER, CO  
CRD# 104555  
Registered with this firm since: 03/31/2025

**B FIDELITY BROKERAGE SERVICES LLC**  
245 SUMMER STREET  
BOSTON, MA 02210  
CRD# 7784  
Registered with this firm since: 10/28/2020

**Report Summary for this Broker**

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

**Broker Qualifications**

**This broker is registered with:**

- 2 Self-Regulatory Organizations
- 53 U.S. states and territories

**This broker has passed:**

- 1 Principal/Supervisory Exam
- 3 General Industry/Product Exams
- 3 State Securities Law Exams

**Registration History**

**This broker was previously registered with the following securities firm(s):**

- IA FIDELITY PERSONAL AND WORKPLACE ADVISORS**  
CRD# 288590  
BOSTON, MA  
11/2020 - 03/2025
- B FORESIDE FUND SERVICES, LLC**  
CRD# 46106  
PORTLAND, ME  
08/2019 - 01/2020
- B XMS CAPITAL PARTNERS, LLC**  
CRD# 142871  
CHICAGO, IL  
09/2018 - 07/2019

**Disclosure Events**

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **No**



## Broker Qualifications

### Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

**This individual is currently registered with 2 SROs and is licensed in 53 U.S. states and territories through his or her employer.**

### Employment 1 of 2

Firm Name: **FIDELITY BROKERAGE SERVICES LLC**

Main Office Address: **900 SALEM STREET  
SMITHFIELD, RI 02917**

Firm CRD#: **7784**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/28/2020
B	FINRA	General Securities Representative	Approved	10/28/2020
B	FINRA	Invest. Co and Variable Contracts	Approved	10/28/2020
B	New York Stock Exchange	General Securities Principal	Approved	10/28/2020
B	New York Stock Exchange	General Securities Representative	Approved	10/28/2020

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	10/28/2020
B	Alaska	Agent	Approved	10/28/2020
B	Arizona	Agent	Approved	10/28/2020
B	Arkansas	Agent	Approved	10/28/2020
B	California	Agent	Approved	10/28/2020
B	Colorado	Agent	Approved	10/28/2020
B	Connecticut	Agent	Approved	10/28/2020
B	Delaware	Agent	Approved	10/28/2020

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	District of Columbia	Agent	Approved	10/28/2020
B	Florida	Agent	Approved	10/28/2020
B	Georgia	Agent	Approved	10/28/2020
B	Hawaii	Agent	Approved	10/28/2020
B	Idaho	Agent	Approved	10/28/2020
B	Illinois	Agent	Approved	10/28/2020
B	Indiana	Agent	Approved	10/28/2020
B	Iowa	Agent	Approved	10/28/2020
B	Kansas	Agent	Approved	10/28/2020
B	Kentucky	Agent	Approved	10/28/2020
B	Louisiana	Agent	Approved	10/28/2020
B	Maine	Agent	Approved	10/28/2020
B	Maryland	Agent	Approved	10/28/2020
B	Massachusetts	Agent	Approved	10/28/2020
B	Michigan	Agent	Approved	10/28/2020
B	Minnesota	Agent	Approved	10/28/2020
B	Mississippi	Agent	Approved	10/28/2020
B	Missouri	Agent	Approved	10/28/2020
B	Montana	Agent	Approved	10/28/2020
B	Nebraska	Agent	Approved	10/28/2020
B	Nevada	Agent	Approved	10/28/2020

## Broker Qualifications



### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	New Hampshire	Agent	Approved	10/28/2020
B	New Jersey	Agent	Approved	10/28/2020
B	New Mexico	Agent	Approved	10/28/2020
B	New York	Agent	Approved	10/28/2020
B	North Carolina	Agent	Approved	10/28/2020
B	North Dakota	Agent	Approved	10/28/2020
B	Ohio	Agent	Approved	10/28/2020
B	Oklahoma	Agent	Approved	10/28/2020
B	Oregon	Agent	Approved	10/28/2020
B	Pennsylvania	Agent	Approved	10/28/2020
B	Puerto Rico	Agent	Approved	10/28/2020
B	Rhode Island	Agent	Approved	10/28/2020
B	South Carolina	Agent	Approved	10/28/2020
B	South Dakota	Agent	Approved	10/28/2020
B	Tennessee	Agent	Approved	10/28/2020
B	Texas	Agent	Approved	10/28/2020
B	Utah	Agent	Approved	10/28/2020
B	Vermont	Agent	Approved	10/28/2020
B	Virgin Islands	Agent	Approved	10/28/2020
B	Virginia	Agent	Approved	10/28/2020
B	Washington	Agent	Approved	10/28/2020



## Broker Qualifications

### Employment 1 of 2, continued

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	West Virginia	Agent	Approved	10/28/2020
<b>B</b>	Wisconsin	Agent	Approved	10/28/2020
<b>B</b>	Wyoming	Agent	Approved	10/28/2020

### Branch Office Locations

**FIDELITY BROKERAGE SERVICES LLC**  
 245 SUMMER STREET  
 BOSTON, MA 02210

### Employment 2 of 2

Firm Name: **STRATEGIC ADVISERS LLC**  
 Main Office Address: **155 SEAPORT BLVD**  
**BOSTON, MA 02210-2698**  
 Firm CRD#: **104555**

	U.S. State/ Territory	Category	Status	Date
<b>IA</b>	Colorado	Investment Adviser Representative	Approved	03/31/2025
<b>IA</b>	Texas	Investment Adviser Representative	Approved	03/31/2025

### Branch Office Locations

BOULDER, CO



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 1 principal/supervisory exam, 3 general industry/product exams, and 3 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	03/08/2002

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> General Securities Representative Examination	Series 7	02/06/1996
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	06/19/1991

### State Securities Law Exams

Exam	Category	Date
<b>B IA</b> Uniform Combined State Law Examination	Series 66	11/17/2020
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	09/20/2019
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	02/29/1996

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).



## Broker Qualifications



## Professional Designations

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

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>IA</b> 11/2020 - 03/2025	FIDELITY PERSONAL AND WORKPLACE ADVISORS	288590	TUCSON, AZ
<b>B</b> 08/2019 - 01/2020	FORESIDE FUND SERVICES, LLC	46106	PORTLAND, ME
<b>B</b> 09/2018 - 07/2019	XMS CAPITAL PARTNERS, LLC	142871	CHICAGO, IL
<b>B</b> 10/2014 - 02/2017	FORESIDE FUNDS DISTRIBUTORS LLC	31334	SAN FRANCISCO, CA
<b>IA</b> 10/2012 - 06/2014	VOYA INVESTMENT MANAGEMENT CO. LLC	106494	NEW YORK, NY
<b>B</b> 09/2011 - 06/2014	VOYA INVESTMENTS DISTRIBUTOR, LLC	37886	BOULDER, CO
<b>B</b> 01/2008 - 12/2010	QUASAR DISTRIBUTORS, LLC	103848	PORTLAND, ME
<b>B</b> 04/2006 - 12/2007	PACIFIC CORNERSTONE CAPITAL INCORPORATED	40397	IRVINE, CA
<b>B</b> 09/2005 - 03/2006	CAPITAL SOLUTIONS DISTRIBUTORS, LLC	132315	CORTE MADERA, CA
<b>B</b> 04/2003 - 06/2005	LINCOLN FINANCIAL DISTRIBUTORS, INC.	145	RADNOR, PA
<b>IA</b> 04/2003 - 06/2005	LINCOLN FINANCIAL DISTRIBUTORS, INC.	145	BOULDER, CO
<b>IA</b> 05/2001 - 04/2003	STRONG CAPITAL MANAGEMENT INC	106638	MENOMONEE FALLS, WI
<b>B</b> 04/2001 - 04/2003	STRONG INVESTMENTS, INC.	15658	MENOMONEE FALLS, WI
<b>B</b> 07/1998 - 05/2001	FIDELITY INVESTMENTS INSTITUTIONAL SERVICES COMPANY, INC.	17507	SMITHFIELD, RI
<b>B</b> 06/1991 - 07/1998	JOHN NUVEEN & CO., INCORPORATED	469	CHICAGO, IL
<b>B</b> 03/1985 - 04/1985	KIDDER, PEABODY & CO. INCORPORATED	7613	

### Employment History



## Registration and Employment History

### Employment History, continued

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
03/2025 - Present	Fidelity Investments	Mass Transfer	Y	BOSTON, MA, United States
09/2020 - Present	FIDELITY INVESTMENTS	REGIONAL CONSULTANT	Y	BOSTON, MA, United States
01/2020 - 09/2020	Unemployed	Unemployed	N	Boulder, CO, United States
12/2019 - 01/2020	Foreside Fund Services, LLC	Registered Representative	Y	Boulder, CO, United States
12/2019 - 01/2020	International Value Advisers, LLC	Regional Director	Y	Boulder, CO, United States
08/2019 - 12/2019	Foreside Fund Services, LLC	Registered Representative	Y	Denver, CO, United States
08/2019 - 12/2019	International Value Advisers, LLC	Regional Director	Y	Denver, CO, United States
09/2018 - 07/2019	XMS CAPITAL PARTNERS	XAI Consultant	Y	CHICAGO, IL, United States
03/2017 - 08/2018	INDEPENDENT CONSULTANT	INDEPENDENT CONSULTANT	N	BOLDER, CO, United States
10/2014 - 02/2017	FORESIDE FUND SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	SAN FRANCISCO, CA, United States
09/2014 - 02/2017	MATTHEWS INTERNATIONAL CAPITAL MANAGEMENT, LLC	HEAD OF US INTERMEDIARY DISTRIBUTION	Y	SAN FRANCISCO, CA, United States

### Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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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