

## BrokerCheck Report

**CHRISTOPHER WAYNE MEE**

CRD# 1563855

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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).

**CHRISTOPHER W. MEE**

CRD# 1563855

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

- B** **INSPEREX LLC**  
 25 SE 4th Avenue  
 SUITE 400  
 Delray Beach, FL 33483  
 CRD# 101420  
 Registered with this firm since: 08/19/2015

**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:**

- 1 Self-Regulatory Organization
- 52 U.S. states and territories

**This broker has passed:**

- 2 Principal/Supervisory Exams
- 4 General Industry/Product Exams
- 2 State Securities Law Exams

**Registration History**

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

- B** **INCAPITAL DISTRIBUTORS LLC**  
 CRD# 156622  
 BOCA RATON, FL  
 08/2015 - 11/2018
- B** **REALTY CAPITAL SECURITIES, LLC**  
 CRD# 145454  
 Palm Beach Gardens, FL  
 07/2014 - 08/2015
- B** **JOHN HANCOCK FUNDS, LLC**  
 CRD# 28262  
 PALM BEACH, FL  
 11/2011 - 06/2014

**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? **Yes**

**The following types of disclosures have been reported:**

Type	Count
Criminal	1
Customer Dispute	1



## 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 1 SRO and is licensed in 52 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **INSPEREX LLC**

Main Office Address: **25 SE 4TH AVENUE  
SUITE 400  
DELRAY BEACH, FL 33483**

Firm CRD#: **101420**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/19/2015
B	FINRA	General Securities Representative	Approved	08/19/2015

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	07/02/2018
B	Alaska	Agent	Approved	07/03/2018
B	Arizona	Agent	Approved	07/02/2018
B	Arkansas	Agent	Approved	07/05/2018
B	California	Agent	Approved	08/19/2015
B	Colorado	Agent	Approved	07/03/2018
B	Connecticut	Agent	Approved	07/02/2018
B	Delaware	Agent	Approved	07/06/2018
B	District of Columbia	Agent	Approved	03/04/2016
B	Florida	Agent	Approved	08/19/2015
B	Georgia	Agent	Approved	07/06/2018

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Hawaii	Agent	Approved	07/02/2018
B	Idaho	Agent	Approved	07/02/2018
B	Illinois	Agent	Approved	08/19/2015
B	Indiana	Agent	Approved	07/03/2018
B	Iowa	Agent	Approved	07/03/2018
B	Kansas	Agent	Approved	07/16/2018
B	Kentucky	Agent	Approved	07/03/2018
B	Louisiana	Agent	Approved	07/03/2018
B	Maine	Agent	Approved	07/03/2018
B	Maryland	Agent	Approved	07/06/2018
B	Massachusetts	Agent	Approved	07/03/2018
B	Michigan	Agent	Approved	07/05/2018
B	Minnesota	Agent	Approved	07/06/2018
B	Mississippi	Agent	Approved	07/09/2018
B	Missouri	Agent	Approved	07/05/2018
B	Montana	Agent	Approved	07/03/2018
B	Nevada	Agent	Approved	01/14/2019
B	New Hampshire	Agent	Approved	07/10/2018
B	New Jersey	Agent	Approved	08/19/2015
B	New Mexico	Agent	Approved	07/03/2018
B	New York	Agent	Approved	08/19/2015

## Broker Qualifications



### Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	North Carolina	Agent	Approved	07/12/2018
B	North Dakota	Agent	Approved	07/03/2018
B	Ohio	Agent	Approved	07/02/2018
B	Oklahoma	Agent	Approved	07/03/2018
B	Oregon	Agent	Approved	07/02/2018
B	Pennsylvania	Agent	Approved	07/03/2018
B	Puerto Rico	Agent	Approved	07/13/2018
B	Rhode Island	Agent	Approved	07/10/2018
B	South Carolina	Agent	Approved	07/03/2018
B	South Dakota	Agent	Approved	07/03/2018
B	Tennessee	Agent	Approved	07/03/2018
B	Texas	Agent	Approved	07/03/2018
B	Utah	Agent	Approved	07/03/2018
B	Vermont	Agent	Approved	07/10/2018
B	Virgin Islands	Agent	Approved	07/05/2018
B	Virginia	Agent	Approved	07/02/2018
B	Washington	Agent	Approved	07/05/2018
B	West Virginia	Agent	Approved	07/16/2018
B	Wisconsin	Agent	Approved	07/03/2018
B	Wyoming	Agent	Approved	07/03/2018

## Broker Qualifications



### Employment 1 of 1, continued Branch Office Locations

**INSPEREX LLC**  
25 SE 4th Avenue  
SUITE 400  
Delray Beach, FL 33483

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## 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 2 principal/supervisory exams, 4 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	04/28/2006
<b>B</b> General Securities Sales Supervisor Examination (Options Module & General Module)	Series 8	08/02/1993

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> National Commodity Futures Examination	Series 3	06/04/1993
<b>B</b> General Securities Representative Examination	Series 7	05/24/1993
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	01/05/1987

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	08/07/2002
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	10/10/1986

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>B</b> 08/2015 - 11/2018	INCAPITAL DISTRIBUTORS LLC	156622	BOCA RATON, FL
<b>B</b> 07/2014 - 08/2015	REALTY CAPITAL SECURITIES, LLC	145454	Palm Beach Gardens, FL
<b>B</b> 11/2011 - 06/2014	JOHN HANCOCK FUNDS, LLC	28262	PALM BEACH, FL
<b>B</b> 01/2002 - 12/2012	JOHN HANCOCK DISTRIBUTORS LLC	5249	PALM BEACH, FL
<b>B</b> 11/1998 - 01/2002	MANULIFE WOOD LOGAN, INC.	19177	STAMFORD, CT
<b>B</b> 09/1996 - 09/1998	A. G. EDWARDS & SONS, INC.	4	ST. LOUIS, MO
<b>B</b> 04/1993 - 09/1996	PRUDENTIAL SECURITIES INCORPORATED	7471	NEW YORK, NY
<b>B</b> 01/1987 - 03/1993	PRUCO SECURITIES CORPORATION	5685	NEWARK, NJ

### Employment History

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
08/2015 - Present	INCAPITAL LLC	MANAGING DIRECTOR	Y	BOCA RATON, FL, United States
08/2015 - 11/2018	INCAPITAL DISTRIBUTORS LLC	MANAGING DIRECTOR	Y	BOCA RATON, FL, 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.

Philipon DEEZ LLC; Non investment related; located at 15864 72nd Drive, N, Palm Beach Gardens, FL. 33418; Nature of business-Amazon reseller. Selling retail products, (i.e., children books, toys, etc. on Amazon); Position-Partner; Start Date-10-21-2021; Number of hours per month-0; Number of hours during securities trading hours-0; Duties-None. Wife will be selling items on Amazon. I no role in activities.

**Registration and Employment History**



**Other Business Activities, continued**

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## Disclosure Events



### What you should know about reported disclosure events:

1. 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.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
  - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
    - A "pending" event involves allegations that have not been proven or formally adjudicated.
    - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
    - A "final" event has been concluded and its resolution is not subject to change.
  - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
    - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Criminal	0	1	0
Customer Dispute	0	1	N/A



## Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

#### Disclosure 1 of 1

<b>Reporting Source:</b>	Broker
<b>Court Details:</b>	COURT (BROOME COUNTY, NEW YORK COURT)
<b>Charge Date:</b>	08/27/1984
<b>Charge Details:</b>	ATTEMPTED GRAND LARCENY IN THE THEFT OF A WATER PUMP, VALUE APPROXIMATELY \$500.00
<b>Felony?</b>	Yes
<b>Current Status:</b>	Final
<b>Status Date:</b>	11/08/1985
<b>Disposition Details:</b>	DISCHARGED 11/8/1985, PAID \$40.00 FINE.
<b>Broker Statement</b>	I WAS ACCUSED OF STEALING A WATER PUMP FROM A CAMPGROUND WHILE STAYING AT THE CAMPGROUND. SOME FRIENDS AND I HAD HIDDEN THE PUMP IN SOME WOODS NEARBY AS A PRANK, I WAS 19 AT THE TIME. THE PARK POLICE CAME BY AND ASKED IF WE KNEW WHERE THE PUMP WAS AND WE SHOWED THEM WHERE WE PUT IT. SUBSEQUENTLY, WE WERE ARRESTED AND CHARGED WITH THEFT.



## Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Firm
<b>Employing firm when activities occurred which led to the complaint:</b>	PRUCO SECURITIES
<b>Allegations:</b>	REGARDING THE 1987 PURCHASE OF A VARIABLE APPRECIABLE LIFE INSURANCE POLICY, THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE POLICY BEING PAID UP IN 9 YEARS. DAMAGES UNSPECIFIED HOWEVER, THE COMPANY'S GOOD FAITH DETERMINATION ESTIMATES THEM TO BE APPROXIMATELY \$\$12,607.39.
<b>Product Type:</b>	Insurance
<b>Alleged Damages:</b>	\$12,607.39

### Customer Complaint Information

<b>Date Complaint Received:</b>	06/19/2002
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	10/04/2002
<b>Settlement Amount:</b>	\$14,780.23
<b>Individual Contribution Amount:</b>	\$0.00

<b>Firm Statement</b>	THIS CONCERNS A POLICY INCLUDED IN THE CLASS OF POLICIES THAT WAS THE SUBJECT OF A NATIONWIDE CLASS ACTION SETTLEMENT IN WHICH THE COMPANY WAS RELEASED CONCERNING LIFE INSURANCE SALES PRACTICES. THE POLICYHOLDER DID NOT MAKE A TIMELY CLAIM IN THE CLASS ACTION SETTLEMENT REMEDIATION PLAN. THIS INQUIRY WAS RECEIVED ON A QUESTIONNAIRE FORM SUPPLIED TO THE POLICYHOLDER BY THE COMPANY. THE COMPANY IS REVIEWING THIS INQUIRY WITHOUT WAIVER OF THE COMPANY'S RIGHTS UNDER THE CLASS ACTION SETTLEMENT AND RELEASE. THE COMPANY WILL FILE AN AMENDMENT TO DISCLOSE THE OUTCOME. THE COMPANY BY THIS FILING MAKES NO FINDINGS REGARDING THE ACTIONS OF THE REPRESENTATIVE.
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**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** PRUCO SECURITIES

**Allegations:** REGARDING THE 1987 PURCHASE OF A VARIABLE APPRECIABLE LIFE INSURANCE POLICY. THE CLIENT ALLEGED MISREPRESENTATION CONCERNING THE POLICY BEING PAID UP IN 9 YEARS. DAMAGES UNSPECIFIED HOWEVER, PRUDENTIAL'S GOOD FAITH DETERMINATION ESTIMATES IT TO BE APPROXIMATELY \$12,607.39

**Product Type:** Insurance

**Alleged Damages:** \$12,607.39

### Customer Complaint Information

**Date Complaint Received:** 06/19/2002

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 10/04/2002

**Settlement Amount:** \$14,780.23

**Individual Contribution Amount:** \$0.00

**Broker Statement** DECISION AND TOTAL LOSS SETTLED FOR \$14780.23. THIS CONCERNS A POLICY INCLUDED IN A CLASS OF POLICIES THAT WAS SUBJECT TO A NATIONWIDE CLASS ACTION SETTLEMENT IN WHICH PRUCO WAS RELEASED CONCERNING LIFE INSURANCE SALES PRACTICES. THE POLICYHOLDER DID NOT MAKE A TIMELY CLAIM IN THE CLASS ACTION SETTLEMENT REMEDIATION PLAN. THE INQUIRY WAS RECEIVED ON A QUESTIONNAIRE FORM SUPPLIED TO THE POLICYHOLDER BY PRUCO. PRUCO IS REVIEWING THIS INQUIRY WITHOUT WAIVER OF THE COMPANY'S RIGHTS UNDER THE CLASS ACTION SETTLEMENT AND RELEASE. PRUCO WILL FILE AN AMENDMENT TO DISCLOSE THE OUTCOME. PRUCO, BY THIS FILING, MAKES NO FINDINGS REGARDING THE ACTIONS OF THE REPRESENTATIVE.

## End of Report



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