

BrokerCheck Report

CHRISTOPHER DUFFEY

CRD# 1888982

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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:
 - o 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
 - o 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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**CHRISTOPHER DUFFEY**

CRD# 1888982

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

IA WELLS FARGO ADVISORS
 2385 NW EXECUTIVE CENTER DR STE 260
 [SATELLITE]
 BOCA RATON, FL 33431
 CRD# 11025
 Registered with this firm since: 07/24/2025

B WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
 2385 NW EXECUTIVE CENTER DR STE 260
 [SATELLITE]
 BOCA RATON, FL 33431
 CRD# 11025
 Registered with this firm since: 07/24/2025

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
- 34 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA WELLS FARGO ADVISORS**
 CRD# 19616
 ST. LOUIS, MO
 04/2010 - 07/2025
- B WELLS FARGO CLEARING SERVICES, LLC**
 CRD# 19616
 BOCA RATON, FL
 04/2010 - 07/2025
- IA UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 WEEHAWKEN, NJ
 01/2006 - 04/2010

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
Customer Dispute	3

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 34 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC**

Main Office Address: **ONE NORTH JEFFERSON AVENUE
H0004-05C
ST. LOUIS, MO 63103**

Firm CRD#: **11025**

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	07/24/2025

U.S. State/ Territory	Category	Status	Date
B Alabama	Agent	Approved	07/29/2025
B Arizona	Agent	Approved	07/24/2025
B Arkansas	Agent	Approved	07/24/2025
B California	Agent	Approved	07/24/2025
B Colorado	Agent	Approved	07/24/2025
B Connecticut	Agent	Approved	07/24/2025
B Delaware	Agent	Approved	07/24/2025
B District of Columbia	Agent	Approved	07/24/2025
B Florida	Agent	Approved	07/24/2025
IA Florida	Investment Adviser Representative	Approved	07/25/2025
B Georgia	Agent	Approved	07/25/2025
B Illinois	Agent	Approved	07/24/2025

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Indiana	Agent	Approved	07/24/2025
B	Louisiana	Agent	Approved	07/24/2025
B	Maine	Agent	Approved	07/24/2025
B	Maryland	Agent	Approved	07/24/2025
B	Massachusetts	Agent	Approved	07/25/2025
B	Minnesota	Agent	Approved	07/28/2025
B	Mississippi	Agent	Approved	07/24/2025
B	Missouri	Agent	Approved	07/24/2025
B	Nevada	Agent	Approved	07/24/2025
B	New Hampshire	Agent	Approved	07/25/2025
B	New Jersey	Agent	Approved	07/24/2025
B	New Mexico	Agent	Approved	07/24/2025
B	New York	Agent	Approved	07/24/2025
B	North Carolina	Agent	Approved	07/24/2025
B	Ohio	Agent	Approved	07/24/2025
B	Oregon	Agent	Approved	07/24/2025
B	Pennsylvania	Agent	Approved	07/24/2025
B	South Carolina	Agent	Approved	07/24/2025
B	Tennessee	Agent	Approved	07/24/2025
B	Texas	Agent	Approved	07/24/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	07/24/2025



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	07/24/2025
B	Washington	Agent	Approved	07/24/2025
B	Wyoming	Agent	Approved	07/24/2025

Branch Office Locations

WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
2385 NW EXECUTIVE CENTER DR STE 260
[SATELLITE]
BOCA RATON, FL 33431



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 0 principal/supervisory exams, 3 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Securities Industry Essentials Examination	SIE	10/01/2018
B Futures Managed Funds Examination	Series 31	08/02/2005
B General Securities Representative Examination	Series 7	02/11/1989

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	06/15/2010
B Uniform Securities Agent State Law Examination	Series 63	03/10/1989

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/.

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
IA	04/2010 - 07/2025	WELLS FARGO ADVISORS	19616	BOCA RATON, FL
B	04/2010 - 07/2025	WELLS FARGO CLEARING SERVICES, LLC	19616	BOCA RATON, FL
IA	01/2006 - 04/2010	UBS FINANCIAL SERVICES INC.	8174	BOCA RATON, FL
B	01/2006 - 04/2010	UBS FINANCIAL SERVICES INC.	8174	BOCA RATON, FL
B	01/2006 - 01/2006	UBS SECURITIES LLC	7654	NEW YORK, NY
IA	02/2005 - 01/2006	UBS FINANCIAL SERVICES INC.	8174	BOCA RATON, FL
B	01/2005 - 01/2006	UBS FINANCIAL SERVICES INC.	8174	WEEHAWKEN, NJ
IA	04/1991 - 02/2005	CITIGROUP GLOBAL MARKETS INC.	7059	BOCA RATON, FL
B	05/1989 - 02/2005	CITIGROUP GLOBAL MARKETS INC.	7059	NEW YORK, NY
B	02/1989 - 05/1989	DREXEL BURNHAM LAMBERT INCORPORATED	7323	

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
07/2025 - Present	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	REGISTERED REP	Y	BOCA RATON, FL, United States
11/2016 - 07/2025	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REP	Y	BOCA RATON, FL, United States
03/2010 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REP	Y	BOCA RATON, FL, United States

Registration and Employment History



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.

DUFFEY WEALTH MANAGEMENT, LLC; INV RELATED; BOCA RATON, FL; 100% OWNERSHIP; 07/2025; 150 HOURS PER MONTH; 150 HOURS DURING TRADING; LLC ESTABLISHED FOR FINET PRACTICE

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:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o 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.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o 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.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o 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.
 - o 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
Customer Dispute	0	3	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.

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 2

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC
Allegations:	TIME FRAME: MARCH 2008. CLAIMANTS ALLEGE THAT THEIR ACCOUNT WAS OVERCONCENTRATED IN LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES.
Product Type:	Other: STRUCTURED PRODUCTS
Alleged Damages:	\$150,000.00
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	10-04055
Filing date of arbitration/CFTC reparation or civil litigation:	09/24/2010

Customer Complaint Information

Date Complaint Received: 09/24/2010



Complaint Pending? No

Status: Settled

Status Date: 12/21/2011

Settlement Amount: \$98,000.00

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FINANCIAL SERVICES, INC

Allegations: TIME FRAME: MARCH 2008 CLAIMANTS ALLEGE THAT THEIR ACCOUNT WAS OVERCONCENTRATED IN LEHMAN BROTHERS PRINCIPAL PROTECTED NOTES

Product Type: Other: STRUCTURED PRODUCTS

Alleged Damages: \$150,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 10-04055

Filing date of arbitration/CFTC reparation or civil litigation: 09/24/2010

Customer Complaint Information

Date Complaint Received: 09/24/2010

Complaint Pending? No

Status: Settled

Status Date: 12/21/2011



Settlement Amount: \$98,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: UBS FS

Allegations: THE COMPLAINT AROSE OUT OF THE SALE OF AN AUCTION RATE SECURITY (ARS) THAT WAS MADE PRIOR TO THE WIDESPREAD ILLIQUIDITY IN THE ARS MARKET THAT OCCURRED IN FEBRUARY 2008

Product Type: Other: AUCTION RATE SECURITIES

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): CLIENT DID NOT MAKE A CLAIM FOR COMPENSATORY DAMAGES OR CLIENT SOUGHT DAMAGES UP TO \$75,000.00

Is this an oral complaint? Yes

Is this a written complaint? No

Is this an arbitration/CFTC reparation or civil litigation? No

Customer Complaint Information

Date Complaint Received: 03/31/2008

Complaint Pending? No

Status: Settled

Status Date: 12/23/2008

Settlement Amount: \$75,000.00

Individual Contribution Amount: \$0.00

Broker Statement THE COMPLAINT AROSE IN CONNECTION WITH THE INDUSTRY WIDE BREAKDOWN OF THE LIQUIDITY IN THE MARKET FOR AUCTION RATE SECURITIES ("ARS"). THE FIRM AGREED TO REPURCHASE THE ARS SECURITIES AT ISSUE AT PAR VALUE FROM THE CLIENT PURSUANT TO A



GLOBAL REPURCHASE AGREEMENT IT ENTERED INTO WITH SEVERAL REGULATORY BODIES. THIS WAS NOT A SETTLEMENT OF A DISPUTE BETWEEN THE CLIENT AND THE REPRESENTATIVE AND WAS NOT BASED ON THE MERITS OF THE CLIENT'S SPECIFIC CONCERNS OR ANY FINDING OF FAULT OR WRONGDOING BY THE NAMED REPRESENTATIVE. THE NAMED REPRESENTATIVE WAS NOT A PARTY TO, AND DID NOT AGREE TO OR PARTICIPATE IN, THE REPURCHASE AGREEMENT BETWEEN THE FIRM AND THE RELEVANT REGULATORY BODIES. THE NAMED REPRESENTATIVE DID NOT MAKE ANY PAYMENTS TO THE CLIENT AND THE NAMED REPRESENTATIVE WAS NOT ASKED TO AND DID NOT CONTRIBUTE TO THE SETTLEMENT AMOUNT. THE LISTED "SETTLEMENT AMOUNT" REPRESENTS ONLY THE GROSS INITIAL PAR VALUE OF THE ARS POSITION AND DOES NOT TAKE INTO ACCOUNT THE ACTUAL VALUE OF THE ARS POSITION AT THE TIME THE FIRM RECEIVED IT BACK FROM THE CLIENT IN CONNECTION WITH THE SETTLEMENT. THIS MATTER IS BEING REPORTED AS A SETTLEMENT PURSUANT TO THE REQUIREMENTS OF FINRA REGULATORY NOTICE 09-12.



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a consumer-initiated, investment-related written complaint containing allegations that the broker engaged in sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities, which was closed without action, withdrawn, or denied.

Disclosure 1 of 1

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	UBS FINANCIAL SERVICES INC.
Allegations:	TIME FRAME: JUNE 18, 2007-OCTOBER 21, 2010. CLIENT ALLEGES FINANCIAL ADVISOR NEVER INFORMED THAT HE WAS PLACED INTO A MANAGED ACCOUNT. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000.
Product Type:	Other: MANAGED/WRAP ACCOUNTS (OUTSIDE MONEY MANAGER)
Alleged Damages:	\$5,000.00
Alleged Damages Amount Explanation (if amount not exact):	THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/22/2010
Complaint Pending?	No
Status:	Denied
Status Date:	10/22/2010
Settlement Amount:	
Individual Contribution Amount:	

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:

UBS FINANCIAL SERVICES, INC

Allegations:

TIME FRAME: JUNE 18, 2007-OCTOBER 21, 2010. CLIENT ALLEGES FINANCIAL ADVISOR NEVER INFORMED THAT HE WAS PLACED INTO A MANAGED ACCOUNT. THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000.

Product Type:

Other: MANAGED/WRAP ACCOUNTS (OUTSIDE MONEY MANAGER)

Alleged Damages:

\$5,000.00

Alleged Damages Amount Explanation (if amount not exact):

THE ALLEGED DAMAGES ARE ESTIMATED TO BE IN EXCESS OF \$5,000

Is this an oral complaint?

No

Is this a written complaint?

Yes

Is this an arbitration/CFTC reparation or civil litigation?

No

Customer Complaint Information

Date Complaint Received:

10/22/2010

Complaint Pending?

No

Status:

Denied

Status Date:

10/22/2010

Settlement Amount:

Individual Contribution Amount:

End of Report



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