

BrokerCheck Report

CHRISTOPHER CARL JANSEN

CRD# 2449046

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Events	6

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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.

CHRISTOPHER C. JANSEN

CRD# 2449046

This broker is not currently registered.

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 not currently registered.

This broker has passed:

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

Registration History

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

NEWBRIDGE SECURITIES CORPORATION

CRD# 104065
MORRISTOWN, NJ
04/2017 - 01/2018

INVEST FINANCIAL CORPORATION

CRD# 12984
BURLINGTON, NJ
10/2015 - 01/2017

ESSEX NATIONAL SECURITIES, LLC

CRD# 25454
PENNINGTON, NJ
07/2013 - 10/2015

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	4
Termination	2

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 broker is not currently registered.



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.

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	01/30/2018
General Securities Representative Examination	Series 7	10/08/1994

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	11/01/1994

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
04/2017 - 01/2018	NEWBRIDGE SECURITIES CORPORATION	104065	MORRISTOWN, NJ
10/2015 - 01/2017	INVEST FINANCIAL CORPORATION	12984	BURLINGTON, NJ
07/2013 - 10/2015	ESSEX NATIONAL SECURITIES, LLC	25454	PENNINGTON, NJ
03/2013 - 07/2013	REGAL SECURITIES, INC.	7297	GLENVIEW, IL
04/2011 - 11/2011	PNC INVESTMENTS	129052	MILLSTONE TWP., NJ
09/2007 - 07/2009	GARDEN STATE SECURITIES, INC.	10083	PRINCETON, NJ
01/2003 - 09/2007	PTI SECURITIES & FUTURES L. P.	29275	CHICAGO, IL
06/2001 - 12/2002	OPTIONSXPRESS	103849	CHICAGO, IL
03/1999 - 04/2001	WALL STREET FINANCIAL GROUP, INC.	35830	VICTOR, NY
02/1999 - 03/1999	SECURITIES SERVICE NETWORK, INC.	13318	KNOXVILLE, TN
01/1998 - 01/1999	EMMETT A LARKIN COMPANY, INC.	6625	SAN FRANCISCO, CA
10/1996 - 01/1998	MEYERS POLLOCK ROBBINS, INC.	13436	NEW YORK, NY
10/1994 - 11/1996	H.J. MEYERS & CO., INC.	15609	ROCHESTER, NY

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 Dates	Employer Name	Employer Location
04/2017 - Present	Newbridge Securities Corporation	Morristown, NJ
12/2016 - 04/2017	UNEMPLOYED	PRINCETON, NJ
10/2015 - 12/2016	INVEST Financial Corp.	Tampa, FL
07/2013 - 12/2016	INVESTOR'S BANK	Pennington, NJ



Registration and Employment History

Employment History, continued

Employment Dates	Employer Name	Employer Location
03/2013 - 06/2013	REGAL SECURITIES	CHICAGO, IL
08/2009 - 03/2013	ASSET RISK MANAGEMENT, LLC	PRINCETON, NJ
03/2011 - 11/2011	PNC INVESTMENTS	RED BANK, NJ
09/2007 - 07/2009	GARDEN STATE SECURITIES, INC.	PRINCETON, NJ

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.

FIXED INSURANCE SALES: INSURANCE AGENT/LICENSED, FIXED INSURANCE, LIFE, ACCIDENT AND HEALTH.



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	4	N/A



Termination	N/A	2	N/A
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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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	EMMETT A LARKIN COMPANY, INC.
Allegations:	CLAIMANT ASSERTED THE FOLLOWING CAUSES OF ACTION: BREACH OF FIDUCIARY DUTY; BREACH OF CONTRACT; UNAUTHORIZED TRADING; AND FAILURE TO FOLLOW INSTRUCTIONS.
Product Type:	Other
Other Product Type(s):	STOCK
Alleged Damages:	\$160,456.63
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #02-03827
Date Notice/Process Served:	06/24/2002
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	03/23/2004
Disposition Detail:	RESPONDENT IS JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO



CLAIMANTS COMPENSATORY DAMAGES IN THE SUM OF \$44,056.00, PLUS
PRE-JUDGMENT INTEREST.

Reporting Source: Firm
Employing firm when activities occurred which led to the complaint: EMMETT A. LARKIN COMPANY, INC.
Allegations: UNAUTHORIZED TRADE
Product Type: Equity - OTC
Alleged Damages: \$160,456.00

Customer Complaint Information

Date Complaint Received: 07/11/2002
Complaint Pending? No
Status: Arbitration/Reparation
Status Date: 07/11/2002
Settlement Amount:

Individual Contribution Amount:

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 02-03827](#)
Date Notice/Process Served: 07/11/2002
Arbitration Pending? No
Disposition: Award to Customer
Disposition Date: 03/23/2004
Monetary Compensation Amount: \$59,056.00
Individual Contribution Amount: \$59,056.00

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint: EMMETT A. LARKIN COMPANY, INC.

Allegations: UNAUTHORIZED TRADE. APPROXIMATELY \$200,000 IN ALLEGED DAMAGES.

Product Type: Equity - OTC

Alleged Damages: \$160,456.00

Customer Complaint Information

Date Complaint Received: 07/11/2002

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 07/11/2002

Settlement Amount: \$0.00

Individual Contribution Amount: \$0.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [NASD 02-03827](#)

Date Notice/Process Served: 07/11/2002

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 03/23/2004

Monetary Compensation Amount: \$59,056.00

Individual Contribution Amount: \$59,056.00



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 3

Reporting Source:	Firm
Employing firm when activities occurred which led to the complaint:	Invest Financial Corporation
Allegations:	Client alleges misrepresentation in the sale of a variable annuity purchased in September, 2016.
Product Type:	Annuity-Variable
Alleged Damages:	\$17,304.41
Alleged Damages Amount Explanation (if amount not exact):	Approximate difference between the initial investment and the surrender value.
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:	04/13/2017
Complaint Pending?	No
Status:	Settled
Status Date:	07/26/2017
Settlement Amount:	\$13,744.87
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
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Employing firm when activities occurred which led to the complaint:	INVEST FINANCIAL CORPORATION
Allegations:	CLIENT ALLEGES MISREPRESENTATION IN THE SALE OF A VARIABLE ANNUITY PURCHASED IN SEPTEMBER, 2016.
Product Type:	Annuity-Variable
Alleged Damages:	\$17,304.41
Alleged Damages Amount Explanation (if amount not exact):	APPROXIMATE DIFFERENCE BETWEEN THE INITIAL INVESTMENT AND THE SURRENDER VALUE.
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:	04/13/2017
Complaint Pending?	No
Status:	Settled
Status Date:	07/26/2017
Settlement Amount:	\$13,744.87
Individual Contribution Amount:	\$0.00
Broker Statement	REP DENIES THE ALLEGATIONS IN REFERENCE TO A MISREPRESENTATION OF A VARIABLE ANNUITY WITH THE CLIENT. THE PRODUCT INFORMATION AND DOCUMENTS WERE THOROUGHLY EXPLAINED TO THE CLIENT. ALL DOCUMENTS WERE FILLED OUT PROPERLY, SIGNED AND DATED BY CLIENT AND APPROVED BY MY COMPLIANCE DEPARTMENT. THE CUSTOMER HAS HELD THIS ANNUITY FOR ALMOST 8 MONTHS TO DATE WITHOUT EVER MENTIONING ANY MISREPRESENTATION ON MY BEHALF.

Disclosure 2 of 3

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint:	Essex National Securities, LLC
Allegations:	Client alleges representative misrepresented the risk and return of the product.
Product Type:	Annuity-Variable
Alleged Damages:	\$2,406.02
Alleged Damages Amount Explanation (if amount not exact):	unable to determine additional surrender charges at the time of the complaint
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:	09/22/2015
Complaint Pending?	No
Status:	Settled
Status Date:	10/29/2015
Settlement Amount:	\$6,421.89
Individual Contribution Amount:	\$0.00

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Essex Securities
Allegations:	Client alleges misrepresentation of the variable annuity that was purchased in August 2015.
Product Type:	Annuity-Variable
Alleged Damages:	\$2,406.02



Alleged Damages Amount Explanation (if amount not exact): Unable to determine additional surrender charges at time of complaint.

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: 09/22/2015

Complaint Pending? No

Status: Settled

Status Date: 10/29/2015

Settlement Amount: \$6,421.89

Individual Contribution Amount: \$0.00

Disclosure 3 of 3

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: Essex National Securities, LLC

Allegations: Client alleges representative misrepresented the product and was deceptive in explaining the product.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Account value had increased at time of complaint. Unable to determine any potential surrender charges at the time of the complaint.

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: 10/05/2015
Complaint Pending? No
Status: Settled
Status Date: 10/29/2015
Settlement Amount: \$10,957.24
Individual Contribution Amount: \$0.00

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

Allegations: Client alleges misrepresentation of the variable annuity that was purchased on 8/27/2015.

Product Type: Annuity-Variable

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Account value had increased at time of complaint. Unable to determine potential surrender charges at time of complaint.

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: 10/05/2015
Complaint Pending? No
Status: Settled
Status Date: 10/29/2015
Settlement Amount: \$10,957.24



**Individual Contribution
Amount:** \$0.00



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 2

Reporting Source: Firm
Employer Name: INVEST Financial Corporation
Termination Type: Discharged
Termination Date: 12/28/2016
Allegations: Misrepresentation of features and guarantees associated with annuities.
Product Type: Annuity-Fixed
 Annuity-Variable

Reporting Source: Broker
Employer Name: Invest Financial Corp
Termination Type: Discharged
Termination Date: 12/28/2016
Allegations: Misrepresentation of the features and guarantees associated with annuities
Product Type: Annuity-Fixed
 Annuity-Variable

Disclosure 2 of 2

Reporting Source: Broker
Employer Name: WALL STREET FINANCIAL
Termination Type: Voluntary Resignation
Termination Date: 05/01/2001
Allegations: MARGIN NOTIFICATION
Product Type: Options
Broker Statement PREVIOUS EMPLOYER MADE CHARGES AFTER ACCEPTING A VOLUNTARY RESIGNATION. THE REGISTERED REPRESENTATIVE IS UNAWARE OF THE



CHARGES OR ANY INVESTIGATION. THE REGISTERED REP RESIGNED
BECAUSE OF THE METHOD WALL STREET USED TO HANDLE THE ORDERS.

End of Report



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