

BrokerCheck Report

Christopher Lee Vazquez

CRD# 2682454

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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



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 L. Vazquez

CRD# 2682454

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

IA OSAIC WEALTH, INC.
1615 NORTHERN BLVD
SUITE 304
MANHASSET, NY 11030
CRD# 23131
Registered with this firm since: 01/19/2024

B OSAIC WEALTH, INC.
1615 NORTHERN BLVD
SUITE 304
MANHASSET, NY 11030
CRD# 23131
Registered with this firm since: 01/19/2024

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
- 7 U.S. states and territories

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):

- IA WOODBURY FINANCIAL SERVICES, INC.**
CRD# 421
OAKDALE, MN
10/2020 - 01/2024
- B WOODBURY FINANCIAL SERVICES, INC.**
CRD# 421
MANHASSET, NY
10/2020 - 01/2024
- IA SANTANDER SECURITIES**
CRD# 41791
BOSTON, MA
02/2016 - 08/2020

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

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Office Address: **18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255**

Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	01/19/2024

	U.S. State/ Territory	Category	Status	Date
B	Connecticut	Agent	Approved	02/23/2024
B	Florida	Agent	Approved	01/19/2024
B	Georgia	Agent	Approved	01/19/2024
IA	Georgia	Investment Adviser Representative	Approved	01/19/2024
B	New Jersey	Agent	Approved	01/19/2024
IA	New Jersey	Investment Adviser Representative	Approved	01/19/2024
B	New York	Agent	Approved	01/19/2024
IA	New York	Investment Adviser Representative	Approved	01/19/2024
B	Pennsylvania	Agent	Approved	01/19/2024
IA	Pennsylvania	Investment Adviser Representative	Approved	01/19/2024
B	Virginia	Agent	Approved	01/19/2024

Broker Qualifications



Employment 1 of 1, continued Branch Office Locations

OSAIC WEALTH, INC.
1615 NORTHERN BLVD
SUITE 304
MANHASSET, NY 11030



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, 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
B Securities Industry Essentials Examination	SIE	10/01/2018
B General Securities Representative Examination	Series 7	08/08/2003

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	08/22/2003

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	10/2020 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	MANHASSET, NY
B	10/2020 - 01/2024	WOODBURY FINANCIAL SERVICES, INC.	421	MANHASSET, NY
IA	02/2016 - 08/2020	SANTANDER SECURITIES	41791	BAYSIDE, NY
B	02/2016 - 08/2020	SANTANDER SECURITIES LLC	41791	BAYSIDE, NY
B	03/2011 - 02/2016	LPL FINANCIAL LLC	6413	MIDDLE VILLAGE, NY
IA	03/2011 - 02/2016	LPL FINANCIAL LLC	6413	MIDDLE VILLAGE, NY
B	08/2010 - 03/2011	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY
IA	08/2010 - 03/2011	CHASE INVESTMENT SERVICES CORP.	25574	NEW YORK, NY
B	12/2009 - 08/2010	LPL FINANCIAL CORPORATION	6413	LONG ISLAND CITY, NY
IA	12/2009 - 08/2010	LPL FINANCIAL CORPORATION	6413	LONG ISLAND CITY, NY
IA	12/2008 - 12/2009	CHASE INVESTMENT SERVICES CORP.	25574	FREEPORT, NY
B	12/2008 - 12/2009	CHASE INVESTMENT SERVICES CORP.	25574	FREEPORT, NY
IA	06/2008 - 12/2008	AXA ADVISORS, LLC	6627	LAKE SUCCESS, NY
B	06/2008 - 12/2008	AXA ADVISORS, LLC	6627	LAKE SUCCESS, NY
B	03/2008 - 06/2008	LPL FINANCIAL CORPORATION	6413	NEW ROCHELLE, NY
IA	03/2008 - 06/2008	LPL FINANCIAL CORPORATION	6413	NEW ROCHELLE, NY
IA	01/2007 - 03/2008	IFMG SECURITIES, INC.	14416	NEW YORK, NY
B	01/2007 - 03/2008	IFMG SECURITIES, INC.	14416	NEW YORK, NY
IA	04/2004 - 12/2006	IFMG SECURITIES, INC.	14416	NEW YORK, NY
B	03/2004 - 12/2006	IFMG SECURITIES, INC.	14416	NEW YORK, NY
IA	08/2003 - 03/2004	AMERICAN EXPRESS FINANCIAL ADVISORS, INC.	6363	MIAMI, FL



Registration and Employment History

Registration History, continued

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 08/2003 - 03/2004	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
B 08/2003 - 03/2004	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

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
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	MANHASSET, NY, United States
10/2020 - 01/2024	Woodbury Financial Services Inc	REGISTERED REPRESENTATIVE	Y	MANHASSET, NY, United States
01/2016 - 08/2020	Santander Bank, NA	Bank Employee	Y	BOSTON, MA, United States
01/2016 - 08/2020	Santander Securities, LLC	Financial Consultant	Y	DORCHESTER, MA, United States
03/2011 - 01/2016	ASTORIA FEDERAL SAVINGS	REGISTERED REP	Y	MIDDLE VILLAGE, NY, United States
03/2011 - 01/2016	LPL FINANCIAL LLC	MANAGED REP	Y	LONG ISLAND CITY, NY, 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.

1. VAZQUEZ ACQUISITIONS LLC POS: Owner NATURE: LLC INV. RELATED: HRS: 15 SEC TRD HRS: 0 START: 4/8/15 ADDY: Huntington NY 11743 DESC: owner - buy, renovate/sell real est. In the future I may decide to buy and rent props.
2. CHRISTOPHER VAZQUEZ POS: Realtor NATURE: Sole Prop INV. RELATED: Yes HRS: 4 SEC TRD HRS: 0 START: 9/10/20 ADDY: Huntington NY 11743 DESC: real est license/EXP realty. not sold any props



Registration and Employment History

Other Business Activities, continued

3. OAKFIELD WEALTH MGMT POS: Finl Advisor NATURE: LLC INV. RELATED: HRS: 160 SEC TRD HRS: 160 START: 12/31/20 ADDY: Dix Hills NY 11746 DESC: part of the group managed by Anthony Macaluso Oakfield Wealth Mgmt at Woodbury Finl. I am featured on the website.
4. HIGHLAND CAPITAL BROKERAGE POS: Agent NATURE: Sole Prop INV. RELATED: Yes HRS: 20 SEC TRD HRS: 20 START: 9/8/22 ADDY: Manhasset NY 11030 DESC: provide fixed life ins/ fixed ann Highland is a Brokerage Partner AG
5. PROSPERITY LIFE GROUP POS: Agent NATURE: Sole prop INV. RELATED: Yes HRS: 10 SEC TRD HRS: 3 START: 9/12/22 ADDY: Manhasset NY 11030 DESC: sell fixed ann /life ins/ Prosperity LIFE Group in NY, PA, NJ AND FL
6. FIS MKTG POS: Finl Advisor NATURE: Sole Prop INV. RELATED: Yes HRS: 10 SEC TRD HRS: 10 START: 10/4/22 ADDY: Islandia NY 11749 DESC: FIS Mktg
7. FINL INDEPENDENCE GROUP POS: Private Wealth Advisor NATURE: Sole Prop INV. RELATED: Yes HRS: 20 SEC TRD HRS: 2 START: 11/17/23 ADDY: Manhasset NY 11030 DESC: sell life ins, FAFIAs, disability ins/ LTC ins
8. MAGELLAN FINL POS: Private Wealth Advisor NATURE: sole prop INV. RELATED: Yes HRS: 20 SEC TRD HRS: 2 START: 1/11/24 ADDY: Manhasset NY 11030 DESC: sell life ins, FA, FIA , disability ins/LTC ins to my prospects and clients at Woodbury Finl/Osaic Wealth
9. STRATEGIC EDUCATION TECHNOLOGIES A/K/A SET POS: Private Wealth Advisor NATURE: Sole Prop INV. RELATED: Yes HRS: 20 SEC. TRADING HRS: 5 START: 3/7/24 ADDY: Manhasset NY 11030 DESC: sell life ins, FAs, FIAs, disability ins/ LTC ins
10. CHRIS VAZQUEZ POS: Owner NATURE: Sole Prop INV. RELATED: No NUMBER HRS: 20 SEC. TRADING HRS: 0 START: 3/7/24 ADDY: Huntington NY 11743 DESC: Provide information to college-bound students and their parents. Services are fulfilled by 3rd party professional education company The College Planning Network, LLC
11. CAMPUS BOUND PLANNING LLC POSITION: Owner NATURE: LLC INV. RELATED: HRS: 20 SEC. TRADING HRS: 0 START: 3/7/24 ADDY: Huntington NY 11743 DESC: Provide info to college-bound students
12. CMAC ENTERPRISES LLC - DBA BACKYARD FIXTURES POS: Co-Founder NATUR: E-Commerce LLC INV. RELATED: HRS: 40 SEC. TRADING HRS: 0 START: 7/23/24 ADDY: Manhasset NY 11030 DESC: E-commerce store
13. LIFE BROKERAGE POS: Agent NATURE: Sole Propr INV. RELATED: Yes HRS: 20 SEC. TRADING HRS: 20 START: 10/28/24 ADDY: Manhasset NY 11030 DESC: provide fixed life ins, LTC, disability ins, fixed ann
14. SIMPLICITY POS: Ins Agent NATURE: Sole Prop INV. RELATED: Yes HRS: 10 SEC. TRADING HRS: 10 START: 11/7/24 ADDY: Manhasset NY 11030 DESC: Sales /fixed life ins products
15. TRENDSETTERS TRADING LLC
POSITION: Member NATURE: LLC INV. RELATED: No NUMBER HRS.: 20 SEC. TRADING HRS.: 0 START: 11/08/2024
ADDRESS: 57 Manchester Rd, Huntington NY 11743
DESC: The company is with my wife Gladys Vazquez. It is an online e-commerce company. We sell goods online on Amazon
16. NEAT STREET CLEANERS
POSITION: CEO NATURE: LLC INV. RELATED: No NUMBER HRS.: 20 SEC. TRADING HRS.: 0 START: 05/09/2025
ADDRESS: 57 Manchester Rd, Huntington NY 11743
DESC: I am starting a remote cleaning business. I will facilitate cleaning residences and businesses. I will hire independent cleaners to perform the job.

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.
 -
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
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.

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: LPL Financial LLC

Allegations: Vazquez was a subject of the customer's complaint against LPL Financial LLC that asserted the following causes of action: Fraud; unsuitability; breach of fiduciary duty; breach of contract; negligence; unjust enrichment and deceptive practices; strict liability; negligence; and failure to supervise.

Product Type: Annuity-Variable

Alleged Damages: \$22,823.37

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #17-00071](#)

Date Notice/Process Served: 01/06/2017

Arbitration Pending? No

Disposition: Award

Disposition Date: 10/24/2017

Disposition Detail: Vazquez was a Subject Of the customer's complaint alleging he and his member firm caused sales practice violations. Vazquez's member firm is liable for and shall pay to Claimant the sum of \$22,102.76, plus interest, in compensatory damages.



Reporting Source: Firm

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL, LLC

Allegations: CUSTOMER ALLEGES UNSUITABLE INVESTMENT AND MISREPRESENTATION OF A JOHN HANCOCK VARIABLE ANNUITY.

Product Type: Annuity-Variable

Alleged Damages: \$25,000.00

Is this an oral complaint? No

Is this a written complaint? No

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

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 17-00071

Filing date of arbitration/CFTC reparation or civil litigation: 01/06/2017

Customer Complaint Information

Date Complaint Received: 01/24/2017

Complaint Pending? No

Status: Arbitration Award/Monetary Judgment (for claimants/plaintiffs)

Status Date: 10/24/2017

Settlement Amount: \$22,102.76

Individual Contribution Amount: \$0.00

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: LPL FINANCIAL, LLC



Allegations:	CUSTOMER ALLEGES UNSUITABLE INVESTMENT AND MISREPRESENTATION OF A JOHN HANCOCK VARIABLE ANNUITY.
Product Type:	Annuity-Variable
Alleged Damages:	\$25,000.00
Is this an oral complaint?	No
Is this a written complaint?	No
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA
Docket/Case #:	17-00071
Filing date of arbitration/CFTC reparation or civil litigation:	01/06/2017

Customer Complaint Information

Date Complaint Received:	01/24/2017
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)
Status Date:	10/24/2017
Settlement Amount:	\$22,102.76
Individual Contribution Amount:	\$0.00

End of Report



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