

BrokerCheck Report

CHRISTOPHER RONALD DIGREGORIO

CRD# 2754779

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 5
Registration and Employment History	7 - 8
Disclosure Events	9



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 R. DIGREGORIO**

CRD# 2754779

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

IA AMERIPRISE FINANCIAL SERVICES, LLC
 101 Crawfords Corner Rd
 Ste 1311
 Holmdel, NJ 07733
 CRD# 6363
 Registered with this firm since: 11/08/2019

B AMERIPRISE FINANCIAL SERVICES, LLC
 101 Crawfords Corner Rd
 Ste 1311
 Holmdel, NJ 07733
 CRD# 6363
 Registered with this firm since: 11/08/2019

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
- 27 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA JANNEY MONTGOMERY SCOTT LLC**
 CRD# 463
 PHILADELPHIA, PA
 02/2015 - 12/2019
- B JANNEY MONTGOMERY SCOTT LLC**
 CRD# 463
 EDISON, NJ
 02/2015 - 12/2019
- IA OPPENHEIMER & CO. INC.**
 CRD# 249
 NEW YORK, NY
 07/2008 - 02/2015

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
Regulatory Event	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 27 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **AMERIPRISE FINANCIAL SERVICES, LLC**

Main Office Address: **9013RD AVENUE SOUTH
MINNEAPOLIS, MN 55402**

Firm CRD#: **6363**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	11/08/2019

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	11/08/2019
B	Colorado	Agent	Approved	12/12/2022
B	Connecticut	Agent	Approved	11/27/2020
B	Delaware	Agent	Approved	03/22/2023
IA	Delaware	Investment Adviser Representative	Approved	03/22/2023
B	Florida	Agent	Approved	11/08/2019
B	Georgia	Agent	Approved	05/20/2021
B	Idaho	Agent	Approved	03/24/2025
B	Illinois	Agent	Approved	05/05/2025
B	Indiana	Agent	Approved	07/30/2025
B	Kentucky	Agent	Approved	02/17/2025
B	Louisiana	Agent	Approved	09/27/2024

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Maryland	Agent	Approved	09/10/2025
B	Massachusetts	Agent	Approved	09/24/2025
B	Michigan	Agent	Approved	11/06/2025
B	New Hampshire	Agent	Approved	09/05/2025
B	New Jersey	Agent	Approved	11/08/2019
IA	New Jersey	Investment Adviser Representative	Approved	11/08/2019
B	New York	Agent	Approved	11/08/2019
B	North Carolina	Agent	Approved	07/05/2024
B	Oregon	Agent	Approved	11/14/2023
B	Pennsylvania	Agent	Approved	11/08/2019
B	Rhode Island	Agent	Approved	09/19/2025
B	South Carolina	Agent	Approved	10/03/2022
B	Tennessee	Agent	Approved	02/05/2025
B	Texas	Agent	Approved	06/15/2021
IA	Texas	Investment Adviser Representative	Restricted Approval	06/16/2021
B	Vermont	Agent	Approved	09/12/2025
B	Virginia	Agent	Approved	05/06/2025
B	Washington	Agent	Approved	02/03/2025

Branch Office Locations

AMERIPRISE FINANCIAL SERVICES, LLC
101 Crawfords Corner Rd

Broker Qualifications



Employment 1 of 1, continued

Ste 1311
Holmdel, NJ 07733

AMERIPRISE FINANCIAL SERVICES, LLC
Freehold, NJ



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 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 General Securities Representative Examination	Series 7	08/22/1996

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	04/17/2012
B Uniform Securities Agent State Law Examination	Series 63	09/03/1996

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/.

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 02/2015 - 12/2019	JANNEY MONTGOMERY SCOTT LLC	463	EDISON, NJ
IA 02/2015 - 12/2019	JANNEY MONTGOMERY SCOTT LLC	463	EDISON, NJ
IA 07/2008 - 02/2015	OPPENHEIMER & CO. INC.	249	FLORHAM PARK, NJ
B 07/2008 - 02/2015	OPPENHEIMER & CO. INC.	249	FLORHAM PARK, NJ
IA 04/2008 - 07/2008	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ROSELAND, NJ
B 04/2007 - 07/2008	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	ROSELAND, NJ
B 07/2004 - 04/2007	RYAN BECK & CO.	3248	ROSELAND, NJ
B 03/2003 - 07/2004	RBC DAIN RAUSCHER INC.	31194	NEW YORK, NY
B 04/2001 - 03/2003	FIRST INSTITUTIONAL SECURITIES, L.L.C.	23910	WEST PATERSON, NJ
B 12/1997 - 01/1998	FIRST LIBERTY INVESTMENT GROUP, INC.	3536	PHILADELPHIA, PA
B 08/1996 - 10/1997	WILLIAM SCOTT & CO. L.L.C.	14979	UNION, 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
03/2020 - Present	Ameriprise Financial Services, LLC	Registered Rep	Y	Holmdel, NJ, United States
11/2019 - 03/2020	AMERIPRISE FINANCIAL SERVICES, INC	Registered Representative	Y	East Brunswick, NJ, United States
02/2015 - 11/2019	JANNEY MONTGOMERY SCOTT LLC	FINANCIAL ADVISOR	Y	EDISON, NJ, 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.

Business Ownership; DGAM LLC; Setting up an LLC to pay for franchise operating expenses including payroll, rent, office supplies, office upgrades, and phones.; Scorp established for franchise to monthly pay operating expenses.; 17 Topanemus Lane, , Freehold, NJ, 07728; Investment-Related; 02/01/2022; 1 to 9 hours per month; 1 to 9 during trading hours / Xcelerate Growth LLC; Co-owner; Manage Ameriprise Business; 101 Crawfords Corner Road, Suite 1311, Holmdel, NJ, 07733; Investment-Related; 07/30/2025; 10 to 19 hours per month; 1 to 9 during trading hours. Outside Employment; DGAM LLC; Owner; Retail; 17 Topanemus Lane, , Freehold, NJ, 07728; Investment-Related; 01/01/2024; 1 to 9 hours per month; 0 during trading hours. Other Business Activities; Office Rental; space designated for office rental and staff; 101 Crawfords Corner Road, , Holmdel, NJ, 07733; Not Investment-Related; 03/01/2022; 0 hours per month; 1 to 9 during trading hours.

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
Regulatory Event	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.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 01/03/2001

Docket/Case Number: C9B000042

Employing firm when activity occurred which led to the regulatory action:

Product Type: Other

Other Product Type(s):

Allegations: NASD RULE 2110 - RESPONDENT EXECUTED UNAUTHORIZED TRANSACTIONS IN THE ACCOUNTS OF A PUBLIC CUSTOMER.

Current Status: Final

Resolution: Decision & Order of Offer of Settlement

Resolution Date: 03/05/2001

Sanctions Ordered: Monetary/Fine \$7,500.00



Suspension

Other Sanctions Ordered:

Sanction Details:

SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. ** THE SUSPENSION IS EFFECTIVE APRIL 2, 2001 TO APRIL 16, 2001.

Reporting Source:

Broker

Regulatory Action Initiated By:

NASDR

Sanction(s) Sought:

Suspension

Other Sanction(s) Sought:

\$7,500 FINE

Date Initiated:

01/03/2001

Docket/Case Number:

C9B000042

Employing firm when activity occurred which led to the regulatory action:

WILLIAM SCOTT & CO., L.L.C.

Product Type:

Equity - OTC

Other Product Type(s):

Allegations:

FOUR TRADES ALLEGED TO HAVE BEEN UNAUTHORIZED.

Current Status:

Final

Resolution:

Decision & Order of Offer of Settlement

Resolution Date:

03/05/2001

Sanctions Ordered:

Monetary/Fine \$7,500.00
Suspension

Other Sanctions Ordered:

Sanction Details:

SUSPENDED TEN (10) DAYS FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY COMMENCING ON APRIL 2, 2001 AND FINED \$7500 TO BE PAID UPON REQUEST OF CLAIMANT

Broker Statement

THE OFFER OF SETTLEMENT WAS SUBMITTED AND THE SANCTIONS ACCEPTED DUE TO THE EXPENSE OF ATTORNEY'S FEES AND RELATED COSTS AND TO A LACK OF PROPER MAINTENANCE OF DOCUMENTATION BY THE WILLIAM SCOTT & CO. VITAL TO A DEFENSE AGAINST THE



ALLEGATIONS.



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

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	OPPENHEIMER & CO. INC.
Allegations:	CLAIMANTS ALLEGE THEIR BROKER MADE UNSUITABLE INVESTMENT RECOMMENDATIONS DURING AN UNSPECIFIED TIME PERIOD AND DID NOT DISCLOSE THE RISKS ASSOCIATED WITH TRADING ON MARGIN DURING 2009 - 2011.
Product Type:	Debt-Government
Alleged Damages:	\$100,000.00
Alleged Damages Amount Explanation (if amount not exact):	CLAIM FOR DAMAGES IS OVER \$100,000. BUT NO SPECIFIC AMOUNT IS ALLEGED.
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 #:	12-00815
Filing date of arbitration/CFTC reparation or civil litigation:	03/05/2012

Customer Complaint Information

Date Complaint Received:	03/12/2012
Complaint Pending?	No
Status:	Settled
Status Date:	10/22/2012
Settlement Amount:	\$56,250.00



Individual Contribution Amount:	\$25,000.00
--	-------------

End of Report



This page is intentionally left blank.