

BrokerCheck Report

Christopher Eugene Shufeldt

CRD# 2831033

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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 E. Shufeldt**

CRD# 2831033

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

- B ABRAHAM SECURITIES CORPORATION**
 3724 47TH STREET CT
 GIG HARBOR, WA 98335
 CRD# 13498
 Registered with this firm since: 08/28/2024

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
- 1 U.S. state or territory

This broker has passed:

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

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

- IA SCOTTSDALE CAPITAL ADVISORS CORPORATION**
 CRD# 118786
 SCOTTSDALE, AZ
 10/2022 - 07/2023
- B SCOTTSDALE CAPITAL ADVISORS CORP**
 CRD# 118786
 Orlando, FL
 08/2021 - 07/2023
- B NYLIFE SECURITIES LLC**
 CRD# 5167
 SADDLE BROOK, NJ
 11/2019 - 01/2020

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	4



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 1 U.S. state or territory through his or her employer.

Employment 1 of 1

Firm Name: **ABRAHAM SECURITIES CORPORATION**
Main Office Address: **3724 47TH STREET CT
GIG HARBOR, WA 98335**
Firm CRD#: **13498**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	08/28/2024
B	FINRA	General Securities Representative	Approved	08/28/2024
B	FINRA	Investment Banking Representative	Approved	08/28/2024
B	FINRA	Operations Professional	Approved	08/28/2024

	U.S. State/ Territory	Category	Status	Date
B	Florida	Agent	Approved	06/23/2025

Branch Office Locations

ABRAHAM SECURITIES CORPORATION
3724 47TH STREET CT
GIG HARBOR, WA 98335



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 1 principal/supervisory exam, 4 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	03/26/2011

General Industry/Product Exams

Exam	Category	Date
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	05/31/2018
B Investment Banking Registered Representative Examination	Series 79	06/21/2013
B General Securities Representative Examination	Series 7	12/23/1996

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	05/25/2018
IA Uniform Investment Adviser Law Examination	Series 65	08/29/2001

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 10/2022 - 07/2023	SCOTTSDALE CAPITAL ADVISORS CORPORATION	118786	Orlando, FL
B 08/2021 - 07/2023	SCOTTSDALE CAPITAL ADVISORS CORP	118786	Orlando, FL
B 11/2019 - 01/2020	NYLIFE SECURITIES LLC	5167	SADDLE BROOK, NJ
IA 07/2019 - 08/2019	IBN FINANCIAL SERVICES, INC	42360	New York, NY
B 05/2019 - 08/2019	IBN FINANCIAL SERVICES, INC.	42360	LIVERPOOL, NY
B 12/2017 - 05/2018	UNIVEST SECURITIES, LLC	36105	NEW YORK, NY
B 10/2016 - 11/2016	ZIV INVESTMENT COMPANY	4316	CHICAGO, IL
B 02/2015 - 11/2015	PICKWICK CAPITAL PARTNERS, LLC	130672	WHITE PLAINS, NY
B 03/2011 - 06/2014	CAPITAL PATH SECURITIES, LLC	104363	SCRANTON, PA
B 01/2010 - 03/2011	HUDSON VALLEY CAPITAL MANAGEMENT	24162	CROTON ON HUDSON, NY
B 01/2009 - 12/2009	LASALLE ST SECURITIES, L.L.C.	7191	CROTON-ON-HUDSON, NY
B 10/2002 - 12/2008	KIMBALL & CROSS INVESTMENT MANAGEMENT CORP.	2438	CROTON-ON-HUDSON, NY
B 01/1999 - 11/2002	TRAUTMAN WASSERMAN & COMPANY, INC.	33007	NEW YORK, NY
B 12/1996 - 07/1998	TRAUTMAN, KRAMER & COMPANY, INC.	33007	NEW YORK, NY

Employment History



Registration and Employment History

Employment History, continued

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
11/2019 - Present	NYLIFE SECURITIES LCC	REGISTERED REPRESENTATIVE	Y	SADDLE BROOK, NJ, United States
10/2019 - Present	NEW YORK LIFE INSURANCE COMPANY	AGENT	Y	SADDLE BROOK, NJ, United States
05/2019 - 08/2019	IBN FINANCIAL SERVICES	INVESTMENT BANKER	Y	LIVERPOOL, NY, United States
06/2018 - 05/2019	UNEMPLOYED	UNEMPLOYED	N	SCRANTON, PA, United States
12/2017 - 05/2018	UNIVEST SECURITIES	MANAGING DIRECTOR	Y	NEW YORK, NY, United States
12/2016 - 11/2017	UNEMPLOYED	UNEMPLOYED	N	SCRANTON, PA, United States
11/2015 - 11/2017	Self-Employed	Self-Employed	Y	Scranton, PA, United States
10/2016 - 11/2016	ZIV INVESTMENT MANAGEMENT	MANAGING DIRECTOR	Y	CHICAGO, NJ, United States
12/2015 - 10/2016	UNEMPLOYED	UNEMPLOYED	N	SCRANTON, PA, United States
02/2015 - 11/2015	PICKWICK CAPITAL PARTNERS	INVESTMENT BANKER, RR	Y	WHITE PLAINS, 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.

I have started a company (MSC Capital Advisors LLC) for the purpose of investing my own funds I have infused and for purchasing the FINRA firm Abraham Securities Corp. All corporate documents and articles are in possession of ASC Compliance Officer and will be uploaded into the FINRA gateway.

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.
 -
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	4	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: KIMBALL & CROSS INVESTMENT MGMT CORP.

Allegations: UNSUITABLE INVESTMENTS, NEGLIGENCE, FRAUD, DECEIT, OMISSION OF MATERIAL FACTS, AND BREACH OF FIDUCIARY DUTY

Product Type: Other: PRIVATE PLACEMENTS

Alleged Damages: \$181,900.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: [FINRA - CASE #10-01684](#)

Date Notice/Process Served: 04/08/2010

Arbitration Pending? No

Disposition: Award

Disposition Date: 01/13/2012

Disposition Detail: RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE FOR AND SHALL PAY TO CLAIMANT COMPENSATORY DAMAGES IN THE AMOUNT OF \$42,800.00.

Reporting Source: Firm



Employing firm when activities occurred which led to the complaint: KIMBALL & CROSS

Allegations: CLIENT ALLEGES BROKER MADE UNSUITABLE RECOMMENDATIONS DURING THE TIME THE ACCOUNT WAS OPEN IN THE SUMMER OF 2005 UNTIL THE SUMMER OF 2007.

Product Type: Equity-OTC
Equity Listed (Common & Preferred Stock)
Penny Stock

Alleged Damages: \$260,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: [10-01684](#)

Date Notice/Process Served: 04/20/2010

Arbitration Pending? No

Disposition: Award to Customer

Disposition Date: 01/13/2012

Monetary Compensation Amount: \$42,800.00

Individual Contribution Amount: \$0.00

Firm Statement WRITTEN CUSTOMER COMPLAINT WAS RECEIVED FROM CLIENT ALLEGING CHRISTOPHER SHUFELDT, WHO AT THE TIME WAS REGISTERED WITH KIMBALL & CROSS, MADE UNSUITABLE RECOMMENDATION IN THE CLIENT'S ACCOUNT DURING THE SUMMER OF 2004 UNTIL THE SUMMER OF 2007. THIS COMPLAINT IS NOT RELATED TO OUR FIRM, THIS WAS AMENDED IN THE BROKER'S U4 IN JUNE 2009 WHICH AT THE TIME WAS A WRITTEN CUSTOMER COMPLAINT. IT HAS NOW EVOLVED INTO AN ARBITRATION, WHICH AS REQUIRED ARE UPDATING THE STATUS.

Reporting Source: Broker



Employing firm when activities occurred which led to the complaint:	KIMBALL & CROSS INVESTMENT MANAGEMENT
Allegations:	UNSUITABLE INVESTMENTS, NEGLIGENCE, FRAUD, DECEIT, OMISSION OF MATERIAL FACTS, AND BREACH OF FIDUCIARY DUTY
Product Type:	Other: PRIVATE PLACEMENTS
Alleged Damages:	\$305,000.00
Arbitration Information	
Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.):	FINRA
Docket/Case #:	10-01684
Date Notice/Process Served:	04/20/2010
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	01/13/2012
Monetary Compensation Amount:	\$42,800.00
Individual Contribution Amount:	\$42,800.00



Customer Dispute - Settled

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

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	
Allegations:	UNAUTHORIZED PURCHASE OF MERX - COMPENSATORY DAMAGES CLAIMED WERE \$19,275.
Product Type:	Other
Other Product Type(s):	NOT PROVIDED
Alleged Damages:	\$19,275.00

Customer Complaint Information

Date Complaint Received:	08/20/1998
Complaint Pending?	No
Status:	Settled
Status Date:	09/24/1998
Settlement Amount:	\$7,400.00
Individual Contribution Amount:	\$0.00
Broker Statement	FIRM SETTLED WITH CUSTOMER FOR \$7400. AGENT SHUFELDT VOLUNTARILY LEFT THE EMPLOY OF THE FIRM AND THE CUSTOMER SUBSEQUENTLY COMPLAINT OF THE UT. AFTER INFORMING THE SALES MANAGER OF A POSSIBLE ARBITRATION NAMING SEVERAL INDIVIDUALS THE FIRM SETTLED. THEIR SHOWN THAT THE CUSTOMER EXECUTED A MARGIN AGREEMENT AND PAID FOR HALF OF THE ALLEGED UT WHICH PRESIPITOUSLY DECLINED SUBSEQUENT TO THE PURCHASE.



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 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: TRAUTMAN WASSERMAN & COMPANY, INC.

Allegations: ALLEGATIONS OF UT BUY OF 3000 NETR @ 10.19 AND SALE OF 4500 NAVR @ AVE.7.83 ON SD 11/12/99. AGENT AND FIRM DENY ALL ALLEGATIONS AND TOOK NO ACTION DUE TO WRITTEN CORRESPONDENCE FROM CUSTOMER (4 WEEKS AFTER TRADES)RATIFYING TRANSACTIONS. ON 2/4/00 CUSTOMER TRANSFERRED POSITION TO ANOTHER BROKER/DEALER.

Product Type: Equity - OTC

Alleged Damages: \$30,570.00

Customer Complaint Information

Date Complaint Received: 12/21/1999

Complaint Pending? No

Status: Closed/No Action

Status Date: 01/13/2000

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Firm

Employing firm when activities occurred which led to the complaint:

Allegations: UNAUTHORIZED TRADE

Product Type:

**Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 04/07/1998**Complaint Pending?** No**Status:** Denied**Status Date:** 04/07/1998**Settlement Amount:****Individual Contribution Amount:**

Firm Statement NO ACTION TAKEN BY THE CUSTOMER NOR THE FIRM. THE CUSTOMER COMPLAINED OF UNAUTHORIZED TRADES YET RETRACTED EACH COMPLAINT ONLY TO REINSTATE THEM ON THE ADVICE OF HER EMPLOYER. THE FIRM FOUND NO WRONGDOING AND CLOSED THE ACCOUNT.

Reporting Source: Broker**Employing firm when activities occurred which led to the complaint:****Allegations:** UNAUTHORIZED TRANSACTIONS**Product Type:****Alleged Damages:****Customer Complaint Information****Date Complaint Received:** 04/07/1998**Complaint Pending?** No**Status:** Denied**Status Date:** 04/07/1998**Settlement Amount:****Individual Contribution Amount:****Broker Statement** NO ACTION TAKEN BY THE FIRM NOT THE CUSTOMER



THE CUSTOMER INITIALLY COMPLAINED THEN RETRACTED
HER COMPLAINT. REVIEWS CONDUCTED BY THE FIRM AND TWO
SEPARATE
ATTORNEYS FOR THE CUSTOMER HAVE NOT CONCLUDED ANY
WRONGDOING

End of Report



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