BrokerCheck Report

ANTHONY LAMBERT CHRISTENSEN

CRD# 3015594

Section Title	Page(s)
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:
    - 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.

ANTHONY L. CHRISTENSEN

CRD# 3015594

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

IA **ACCESS WEALTH MANAGEMENT, LLC**
4360 BROWNSBORO ROAD
STE .101
LOUISVILLE, KY 40207
CRD# 339285
Registered with this firm since: 03/10/2026

B **PRIVATE CLIENT SERVICES, LLC**
4360 BROWNSBORO ROAD
SUITE 101
LOUISVILLE, KY 40207
CRD# 120222
Registered with this firm since: 10/19/2018

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
- 19 U.S. states and territories

This broker has passed:

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

Registration History

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

IA **ACCESS WEALTH MANAGEMENT, INC.**
CRD# 281616
LOUISVILLE, KY
12/2015 - 03/2026

B **PURSHE KAPLAN STERLING INVESTMENTS**
CRD# 35747
Louisville, KY
11/2015 - 10/2018

IA **ACCESS WEALTH MANAGEMENT, INC.**
CRD# 281616
LOUISVILLE, KY
11/2015 - 12/2015

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
Criminal	1
Customer Dispute	1

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

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

Employment 1 of 2

Firm Name: **ACCESS WEALTH MANAGEMENT, LLC**

Main Office Address: **4360 BROWNSBORO ROAD**
STE .101
LOUISVILLE, KY 40207

Firm CRD#: **339285**

	U.S. State/ Territory	Category	Status	Date
IA	Kentucky	Investment Adviser Representative	Approved	03/10/2026

Branch Office Locations

4360 BROWNSBORO ROAD
STE .101
LOUISVILLE, KY 40207

Employment 2 of 2

Firm Name: **PRIVATE CLIENT SERVICES, LLC**

Main Office Address: **2225 LEXINGTON RD.**
LOUISVILLE, KY 40206

Firm CRD#: **120222**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	10/19/2018
B	FINRA	General Securities Representative	Approved	10/19/2018

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Arizona	Agent	Approved	10/19/2018
B	California	Agent	Approved	10/19/2018
B	Florida	Agent	Approved	10/19/2018
B	Georgia	Agent	Approved	05/10/2024
B	Hawaii	Agent	Approved	03/09/2022
B	Illinois	Agent	Approved	10/19/2018
B	Indiana	Agent	Approved	10/19/2018
B	Iowa	Agent	Approved	10/19/2018
B	Kentucky	Agent	Approved	10/19/2018
B	Maryland	Agent	Approved	10/19/2021
B	Minnesota	Agent	Approved	05/04/2021
B	Missouri	Agent	Approved	05/03/2021
B	New York	Agent	Approved	10/19/2018
B	North Carolina	Agent	Approved	09/09/2019
B	Ohio	Agent	Approved	10/19/2018
B	Oregon	Agent	Approved	10/19/2018
B	Pennsylvania	Agent	Approved	05/10/2019
B	South Carolina	Agent	Approved	10/26/2026
B	Tennessee	Agent	Approved	10/19/2018

Branch Office Locations

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

Broker Qualifications

Employment 2 of 2, continued

PRIVATE CLIENT SERVICES, LLC
4360 BROWNSBORO ROAD
SUITE 101
LOUISVILLE, KY 40207

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

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, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam		Category	Date
B	General Securities Principal Examination	Series 24	03/15/2005

General Industry/Product Exams

Exam		Category	Date
B	Securities Industry Essentials Examination	SIE	10/01/2018
B	Futures Managed Funds Examination	Series 31	04/17/2003
B	General Securities Representative Examination	Series 7	08/27/1998

State Securities Law Exams

Exam		Category	Date
B IA	Uniform Combined State Law Examination	Series 66	02/13/2001

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/.

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

Broker Qualifications

Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates		Firm Name	CRD#	Branch Location
IA	12/2015 - 03/2026	ACCESS WEALTH MANAGEMENT, INC.	281616	LOUISVILLE, KY
B	11/2015 - 10/2018	PURSHE KAPLAN STERLING INVESTMENTS	35747	Louisville, KY
IA	11/2015 - 12/2015	ACCESS WEALTH MANAGEMENT, INC.	281616	LOUISVILLE, KY
B	01/2005 - 11/2015	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	LOUISVILLE, KY
IA	01/2005 - 11/2015	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	LOUISVILLE, KY
IA	12/2002 - 01/2005	MORGAN STANLEY	7556	LOUISVILLE, KY
B	12/2002 - 01/2005	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
B	02/2001 - 12/2002	J.J.B. HILLIARD, W.L. LYONS, INC.	453	LOUISVILLE, KY
B	08/1998 - 03/1999	ARM SECURITIES CORPORATION	932	MINOT, ND

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
02/2026 - Present	ACCESS Wealth Management, LLC	Owner/President/CCO	Y	Louisville, KY, United States
10/2018 - Present	Private Client Services	Registered Rep	Y	Louisville, KY, United States
01/2005 - Present	Access Wealth Management, Inc.	Owner/President/CCO	Y	Louisville, KY, United States
11/2015 - 10/2018	Purshe Kaplan Sterling Investments	Registered Rep	Y	Albany, NY, United States

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

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.

1) ACCESS FAMILY OFFICE SERVICES. 4360 BROWNSBORO RD, STE 101, LOUISVILLE, KY 40207. FAMILY OFFICE SERVICES TO RIA CLIENTS. BOOK KEEPING, BILL PMT, TAX SERVICES. 160 HOURS/MO; 160 DURING TRADING HOURS.
2) ACCESS WEALTH MGMT/ACCESS REAL ESTATE MGMT. 4360 BROWNSBORO RD, STE 101, LOUISVILLE, KY 40207. MGMT AND/OR OWNERSHIP OF REAL ESTATE HOLDING COMPANIES. MANAGER/PROVIDES REAL ESTATE MANAGMENT SERVICES. < 5 HOURS/MO; < 5 DURING TRADING HOURS.
3) ACCESS WEALTH MANAGEMENT. 4360 BROWNSBORO RD, STE 101, LOUISVILLE, KY 40207. RIA. ADVISOR, PRESIDENT. 160 HOURS/MO; 160 DURING TRADING HOURS.
4) JDRF BOARD. 153 THIERMAN LANE, LOUISVILLE, KY 40207. JUVENILE DIABETES RESEARCH FOUNDATION. BOARD MEMBER. 2 HOURS/MO; 2 DURING TRADING HOURS.
5) NICK LACHEY FOUNDATION. 4360 BROWNSBORO RD, #101, LOUISVILLE, KY 40207. CHARITABLE FOUNDATION. BOARD SECRETARY. 2 HOURS/MO; 2 DURING TRADING HOURS.
6) WENDY NOVAK PEDIATRIC DIABETES CARE CENTER. 4350 BROWNSBORO RD, STE 110, LOUISVILLE, KY 40207. CHILDRENS CHARITY. ADVISORY BOARD MEMBER. 2 HOURS/MO; 2 DURING TRADING HOURS

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

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
Criminal	0	1	0
Customer Dispute	0	1	N/A

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

Disclosure Event Details

When evaluating this information, please keep in mind that a discloure 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.

Criminal - Final Disposition

This type of disclosure event involves a criminal charge against the broker that has resulted in a conviction, acquittal, dismissal, or plea. The criminal matter may pertain to any felony or certain misdemeanor offenses, including bribery, perjury, forgery, counterfeiting, extortion, fraud, and wrongful taking of property.

Disclosure 1 of 1

Reporting Source:	Broker
Court Details:	JEFFERSON COUNTY COURT 93F005515
Charge Date:	05/28/1993
Charge Details:	POSSESSION OF ALCOHOL BY A MINOR POSSESSION OF A FORGED INSTRUMENT (S)
Felony?	No
Current Status:	Final
Status Date:	07/14/1993
Disposition Details:	THE POSSESSION OF AN ALTERED DRIVERS LICENSE WAS COMPLETELY DISMISSED. I PLEAD GUILTY TO POSSESSION OF ALCOHOL BY A MINOR VIOLATION. I PAID A FINE OF $50.00 AND ALSO PAID COURT COSTS OF $52.50 FOR A TOTAL OF $102.50. THAT WAS THE EXTENT OF ANY AND ALL PENALTIES.
Broker Statement	I CHANGED THAT BIRTH DATE ON THE ID`S TO MAKE MYSELF APPEAR TO BE 21 YEARS OF AGE INSTEAD OF MY ACTUAL AGE OF 18. THE PURPOSE OF THIS WAS TO ATTEMPT TO PURCHASE BEER FOR AFTER MY HIGH SCHOOL GRADUATION. THIS WAS MOST CERTAINLY A FOOLISH AND IMMATURE ACT. AT THE TIME I DID NOT REALIZE HOW MUCH TROUBLE THAT ACT WOULD CAUSE ME. I STRONGLY WISH THAT I WAS MATURE ENOUGH AT THE TIME NOT TO DO SUCH A THING. PLEASE

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

FEEL FREE TO CONTACT ME IF YOU NEED ANYTHING FURTHER. (PHONE #502-241-5755)

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

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:	Firm
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
Allegations:	Claimants alleges that from August 2012 through the end of 2021, the financial advisor misrepresented a non-traded fund.
Product Type:	Other: Non-Traded Fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimant is seeking an unspecified amount in damages.
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 #:	22-02540
Filing date of arbitration/CFTC reparation or civil litigation:	11/09/2022

Customer Complaint Information

Date Complaint Received:	11/02/2022
Complaint Pending?	No
Status:	Settled
Status Date:	03/01/2024
Settlement Amount:	$350,000.00

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

Individual Contribution Amount:	$0.00
Firm Statement	Without admitting any liability, the Firm settled the matter for $350,000.00 to avoid further arbitration

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC
Allegations:	Claimants allege that from August 2012 through the end of 2021, the financial advisor misrepresented a non-traded fund.
Product Type:	Oil & Gas Other: Non-traded fund
Alleged Damages:	$0.00
Alleged Damages Amount Explanation (if amount not exact):	Claimants are seeking an unspecified amount in damages.
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 #:	22-02540
Filing date of arbitration/CFTC reparation or civil litigation:	11/09/2022

Customer Complaint Information

Date Complaint Received:	11/02/2022
Complaint Pending?	No
Status:	Settled
Status Date:	03/01/2024

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

Settlement Amount:	$350,000.00
Individual Contribution Amount:	$0.00
Broker Statement	Without admitting any liability, Wells Fargo settled the matter for $350,000.00 to avoid further arbitration.

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.

End of Report

This page is intentionally left blank.

©2026 FINRA. All rights reserved. Report about ANTHONY L. CHRISTENSEN.