

BrokerCheck Report

Christopher Glenn Rogers

CRD# 4453653

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 4
Registration and Employment History	6 - 7
Disclosure Events	8



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 G. Rogers
CRD# 4453653

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

- IA RIDGEGATE ADVISORS, LLC**
8310 S VALLEY HIGHWAY
SUITE 480
ENGLEWOOD, CO 80112
CRD# 334233
Registered with this firm since: 09/12/2025
- B EMERSON EQUITY LLC**
8310 S Valley Hwy
Suite 480
Englewood, CO 80112
CRD# 130032
Registered with this firm since: 05/31/2022

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
- 3 U.S. states and territories



This broker has passed:

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

Registration History

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

- IA AE WEALTH MANAGEMENT, LLC**
CRD# 282580
TOPEKA, KS
02/2020 - 12/2025
- IA RIDGEGATE FINANCIAL, LLC**
CRD# 148526
GREENWOOD VILLAGE, CO
12/2018 - 08/2020
- B JACKSON NATIONAL LIFE DISTRIBUTORS LLC**
CRD# 40178
DENVER, CO
10/2009 - 06/2018

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	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 individual is currently registered with 1 SRO and is licensed in 3 U.S. states and territories through his or her employer.

Employment 1 of 2

Firm Name: **EMERSON EQUITY LLC**
 Main Office Address: **155 BOVET ROAD, SUITE 725
 SAN MATEO, CA 94402**
 Firm CRD#: **130032**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/31/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	05/31/2022

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	05/31/2022

Branch Office Locations

EMERSON EQUITY LLC
 8310 S Valley Hwy
 Suite 480
 Englewood, CO 80112

Employment 2 of 2

Firm Name: **RIDGEGATE ADVISORS, LLC**
 Main Office Address: **8310 S VALLEY HIGHWAY
 SUITE 480
 ENGLEWOOD, CO 80112**
 Firm CRD#: **334233**



Broker Qualifications

Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
IA	California	Investment Adviser Representative	Approved	09/12/2025
IA	Colorado	Investment Adviser Representative	Approved	09/12/2025
IA	Texas	Investment Adviser Representative	Restricted Approval	09/15/2025

Branch Office Locations

8310 S VALLEY HIGHWAY
SUITE 480
ENGLEWOOD, CO 80112



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, 4 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 Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B General Securities Representative Examination	Series 7TO	05/31/2022
B Securities Industry Essentials Examination	SIE	06/08/2018
B Investment Company Products/Variable Contracts Representative Examination	Series 6	10/01/2009

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/27/2018
B Uniform Securities Agent State Law Examination	Series 63	12/17/2009

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 02/2020 - 12/2025	AE WEALTH MANAGEMENT, LLC	282580	Englewood, CO
IA 12/2018 - 08/2020	RIDGEGATE FINANCIAL, LLC	148526	GREENWOOD VILLAGE, CO
B 10/2009 - 06/2018	JACKSON NATIONAL LIFE DISTRIBUTORS LLC	40178	DENVER, CO
B 09/2001 - 01/2002	SIMMERS CAPITAL MANAGEMENT CORPORATION	29960	PHOENIX, AZ

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
09/2025 - Present	RIDGEGATE ADVISORS, LLC	Financial Planner	Y	Englewood, CO, United States
12/2022 - Present	Ridgegate Alternatives	Registered Representative	Y	Englewood, CO, United States
07/2020 - Present	EMERSON EQUITY LLC	REGISTERED REPRESENTATIVE	Y	SAN MATEO, CA, United States
09/2018 - Present	Ridgegate Financial, LLC	Employee	Y	Englewood, CO, United States
09/2018 - Present	Ridgegate Insurance, LLC	Insurance Agent	Y	Englewood, CO, United States
02/2020 - 12/2025	AE WEALTH MANAGEMENT, LLC	Investment Advisor Representative	Y	Topeka, KS, United States
12/2019 - 07/2020	MADISON AVENUE SECURITIES, LLC	REGISTERED REPRESENTATIVE	Y	SAN DIEGO, CA, United States
01/2010 - 07/2018	JACKSON NATIONAL LIFE DISTRIBUTORS LLC	REGISTERED REPRESENTATIVE	Y	DENVER, CO, United States



Registration and Employment History

Employment History, continued

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)-Ridgegate Advisors, LLC; Yes, Investment related; 8310 S Valley Highway, Suite 480, Englewood, CO 80112; Firm is a Registered Investment Advisor; Position: Investment Advisor Representative; Start date: 9/2025; Approx. 160 hours per month; Approx. 7 - 8 hour per day during trading hours. Fee-based Financial Advisory.
 - 2)-Ridgegate Alternatives; Yes, Investment related; 8310 S Valley Highway, Suite 480, Englewood, CO 80112; Tradename through which securities-related business is offered through Emerson Equity, LLC.; Position: Registered Representative (through Emerson Equity); Start date (of tradename) 12/2022; Approx. 160 hours per month; Approx. 7 - 8 hours per day during trading hours. Securities Sales and Services
 - 3.) Emerson Equity, LLC Yes Investment Related; 155 Bovet Road, Suite 725 San Mateo, CA 94402; Firm is a Broker/Dealer; Position: Registered Representative; Start Date: 7/2020. Approx.160 hours a month; Approx. 160 during trading; Securities Sales and Services.
 - 4)-Ridgegate Insurance, LLC; Yes, Investment Related; 8310 S Valley Highway, Suite 480, Englewood, CO 80112; Firm is insurance agency; Position: Insurance agent; Start date: 9/2018; Approx 12 hours per month; Approx 7 - 8 hours per day during securities trading hours. Sales of insurance products.
 - 5)-Ridgegate Financial, LLC. Yes, Investment Related; 8310 S Valley Highway, Suite 480, Englewood, CO 80112; Firm is paymaster for all Ridgeate Firms; Position: Employee; Start date: 9/2018; Approx 0 hours per month; Approx 0 hours per day during securities trading hours. No direct duties.
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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	2	0	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 - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, 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.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	EMERSON EQUITY LLC
Allegations:	Suitability
Product Type:	Real Estate Security
Alleged Damages:	\$0.00
Alleged Damages Amount Explanation (if amount not exact):	Unspecified amount
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 #:	25-01880



Filing date of arbitration/CFTC reparation or civil litigation: 09/08/2025

Customer Complaint Information

Date Complaint Received: 12/19/2025

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: EMERSON EQUITY LLC

Allegations: compensatory damages; breach of written contract; breach of fiduciary duty; negligence and gross negligence; misrepresentations and omissions; violation of FINRA rules; violation of the Arizona Securities Act and federal securities laws, and Violation of Best Interest Obligations. 2022

Product Type: Real Estate Security

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): Claimants are requesting general and compensatory damages of \$500,000.00; under-performance damages; attorneys' fees; cost of proceedings; punitive damages in an amount according to proof; interest at the legal rate on all sums recovered; such other relief as this panel deems just and appropriate

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 #: 25-02599



**Filing date of
arbitration/CFTC reparation
or civil litigation:** 11/21/2025

Customer Complaint Information

Date Complaint Received: 11/24/2025

Complaint Pending? Yes

Settlement Amount:

**Individual Contribution
Amount:**

End of Report



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