

BrokerCheck Report

CHRISTOPHER ALLEN WARD

CRD# 4776926

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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.



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.](http://www.finra.org)

Thank you for using FINRA BrokerCheck.



CHRISTOPHER A. WARD

CRD# 4776926

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

FORESIDE FUND SERVICES, LLC

18 SHIPYARD DRIVE
SUITE 3C
HINGHAM, MA 02043
CRD# 46106

Registered with this firm since: 06/06/2005

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
- 22 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):

No information reported.

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? **No**

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>



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

Employment 1 of 1

Firm Name: **FORESIDE FUND SERVICES, LLC**

Main Office Address: **THREE CANAL PLAZA
3RD FLOOR
PORTLAND, ME 04101**

Firm CRD#: **46106**

SRO	Category	Status	Date
FINRA	Invest. Co and Variable Contracts	APPROVED	06/06/2005

U.S. State/ Territory	Category	Status	Date	U.S. State/ Territory	Category	Status	Date
California	Agent	APPROVED	01/03/2011	New Hampshire	Agent	APPROVED	08/01/2005
Connecticut	Agent	APPROVED	08/01/2005	New Jersey	Agent	APPROVED	08/01/2005
Delaware	Agent	APPROVED	08/01/2005	New York	Agent	APPROVED	08/01/2005
District of Columbia	Agent	APPROVED	08/01/2005	North Carolina	Agent	APPROVED	08/01/2005
Florida	Agent	APPROVED	01/03/2012	North Dakota	Agent	APPROVED	01/02/2009
Illinois	Agent	APPROVED	01/03/2012	Rhode Island	Agent	APPROVED	08/01/2005
Kentucky	Agent	APPROVED	08/01/2005	South Dakota	Agent	APPROVED	01/02/2009
Maine	Agent	APPROVED	08/01/2005	Vermont	Agent	APPROVED	08/01/2005
Maryland	Agent	APPROVED	08/01/2005	Virginia	Agent	APPROVED	08/01/2005
Massachusetts	Agent	APPROVED	08/01/2005	West Virginia	Agent	APPROVED	08/01/2005
Michigan	Agent	APPROVED	08/01/2005				
Nebraska	Agent	APPROVED	01/02/2009				

Broker Qualifications



Employment 1 of 1, continued

Branch Office Locations

FORESIDE FUND SERVICES, LLC
18 SHIPYARD DRIVE
SUITE 3C
HINGHAM, MA 02043



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.

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
Securities Industry Essentials Examination	SIE	10/01/2018
Investment Company Products/Variable Contracts Representative Examination	Series 6	06/03/2005

State Securities Law Exams

Exam	Category	Date
Uniform Investment Adviser Law Examination	Series 65	07/20/2007
Uniform Securities Agent State Law Examination	Series 63	07/29/2005

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/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
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No information reported.

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 Dates	Employer Name	Employer Location
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03/2005 - Present	FORESIDE FUND SERVICES, LLC	HINGHAM, MA
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08/2004 - Present	ABSOLUTE INVESTMENT ADVISERS, LLC	HINGHAM, MA
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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.

FORSIDE FUND SERVICES LLC; HINGHAM, MA; START 3/05; REGISTERED REPRESENTATIVE; 50 HRS/WEEK; CORRESPONDING WHOLESALING ACTIVITIES FOR MUTUAL FUNDS.

2) ABSOLUTE PARTNERS ADVISERS LLC; HINGHAM, MA; INVESTMENT RELATED; BEGAN 11/01/2014; PRINCIPLE; 2 HOURS PER MONTH NONE DURING SECURITIES TRADING HOURS.

End of Report



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