

BrokerCheck Report

CHRISTOPHER JOHN SAGAN

CRD# 5855545

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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 J. SAGAN**

CRD# 5855545

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

- IA GLADSTONE WEALTH PARTNERS**
 1901 N ROSELLE RD. SUITE 700
 SCHAUMBURG, IL 60195
 CRD# 250787
 Registered with this firm since: 06/13/2021
- B LPL FINANCIAL LLC**
 1901 N. ROSELLE RD, SUITE 700
 SCHAUMBURG, IL 60195
 CRD# 6413
 Registered with this firm since: 06/11/2021

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
- 9 U.S. states and territories

This broker has passed:

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

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

- IA UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 WEEHAWKEN, NJ
 12/2015 - 06/2021
- B UBS FINANCIAL SERVICES INC.**
 CRD# 8174
 OAKBROOK TERRACE, IL
 11/2015 - 06/2021
- B WALLEYE TRADING LLC**
 CRD# 136196
 WAYZATA, MN
 09/2012 - 11/2014

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**



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

Employment 1 of 2

Firm Name: **GLADSTONE WEALTH PARTNERS**
 Main Office Address: **2000 PGA BLVD.
 SUITE 4440
 PALM BEACH GARDENS, FL 33408**
 Firm CRD#: **250787**

	U.S. State/ Territory	Category	Status	Date
IA	Illinois	Investment Adviser Representative	Approved	06/13/2021
IA	New Hampshire	Investment Adviser Representative	Approved	12/08/2022
IA	Texas	Investment Adviser Representative	Approved	12/17/2021

Branch Office Locations

2000 PGA BLVD.
 SUITE 4440
 PALM BEACH GARDENS, FL 33408

1901 N ROSELLE RD. SUITE 700
 SCHAUMBURG, IL 60195

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**
 Main Office Address: **1055 LPL WAY
 FORT MILL, SC 29715**
 Firm CRD#: **6413**



Broker Qualifications

Employment 2 of 2, continued

SRO	Category	Status	Date
B FINRA	General Securities Representative	Approved	06/11/2021

U.S. State/ Territory	Category	Status	Date
B Arizona	Agent	Approved	06/11/2021
B Colorado	Agent	Approved	06/11/2021
B Florida	Agent	Approved	06/11/2021
B Georgia	Agent	Approved	06/11/2021
B Illinois	Agent	Approved	06/11/2021
B New Hampshire	Agent	Approved	10/21/2021
B Ohio	Agent	Approved	06/29/2021
B Oklahoma	Agent	Approved	08/12/2024
B Texas	Agent	Approved	06/11/2021

Branch Office Locations

LPL FINANCIAL LLC
 1901 N. ROSELLE RD, SUITE 700
 SCHAUMBURG, IL 60195



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 1 state securities law exam.

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	02/11/2011

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	12/11/2015

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 **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at <http://www.nasaa.org>



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 - 06/2021	UBS FINANCIAL SERVICES INC.	8174	OAKBROOK TERRACE, IL
B 11/2015 - 06/2021	UBS FINANCIAL SERVICES INC.	8174	OAKBROOK TERRACE, IL
B 09/2012 - 11/2014	WALLEYE TRADING LLC	136196	WAYZATA, MN
B 05/2011 - 02/2012	NOLITA CAPITAL, LLC	141461	CHICAGO, IL

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
06/2021 - Present	GLADSTONE WEALTH PARTNERS	INVESTMENT ADVISER REPRESENTATIVE	Y	SCHAUMBURG, IL, United States
06/2021 - Present	LPL Financial, LLC	REGISTERED REPRESENTATIVE	Y	Schaumburg, IL, United States
09/2017 - 05/2021	UBS Financial Services Inc.	FA - Trainee	Y	Barrington, IL, United States
11/2015 - 09/2017	UBS Financial Services	WPA	Y	Oakbrook Terrace, IL, United States
08/2015 - 10/2015	Finra	Options Regulation	N	Chicago, IL, 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.

- 1) 06/2021 - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - GLADSTONE WEALTH PARTNERS - INVESTMENT RELATED - SCHAUMBURG, IL 60195
- 2) 05/25/2021 - DBA FOR LPL BUSINESS (ENTITY FOR LPL BUSINESS) - PUZZLE WEALTH SOLUTIONS - INVESTMENT RELATED -



Registration and Employment History

Other Business Activities, continued

SCHAUMBURG, IL 60195

3) 05/25/2021 - BUSINESS ENTITY FOR TAX/INVESTMENT PURPOSES ONLY - PUZZLE WEALTH PARTNERS - INVESTMENT RELATED - SCHAUMBURG, IL 60195

4) 05/25/2021 - NON-VARIABLE INSURANCE - BOOK OF BROKERS - 2HRS/MO DURING TRADING - INVESTMENT RELATED - SCHAUMBURG, IL 60195

5) 6/23/2021 - PUZZLE WEALTH SOLUTIONS - DBA: (Hybrid) GLADSTONE INSTITUTIONAL ADVISORY LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 05/25/2021 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through GLADSTONE INSTITUTIONAL ADVISORY LLC, an independent investment advisor firm. I started this business activity in 6/2021. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

6) 6/23/2021 - GLADSTONE INSTITUTIONAL ADVISORY LLC - DBA: (Hybrid) GLADSTONE WEALTH GROUP - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Started 05/25/2021 - 160 Hours Per Month - Time Spent 100% - I provide investment advisory services through GLADSTONE INSTITUTIONAL ADVISORY LLC, an independent investment advisor firm. I started this business activity in 6/2021. I expect to spend approximately 160 hours per month on this activity. Please see the advisory firm's Form ADV for more information about its address, the nature of its business, its owners, and its services at <http://www.adviserinfo.sec.gov/IAPD>. The firm is separate from and independent of LPL Financial.

7) 06/2021 - LPL Financial - broker-dealer registered representative - Investment Related - At Reported Business Location(s) - 80 hours a month during securities trading.

8) 04/2022 - Gladstone Institutional Advisory, LLC - DBA: (Hybrid) Puzzle ICS - Investment Related - At Reported Business Location(s) - Registered Investment Adviser Hybrid - 60 hours a month during securities trading.

9) 12/15/2022 - CJS Family Holdings LLC - Not Investment Related - Home Based - Business Entity For Tax/Investment Purposes Only - Start Date - 11/08/2022 - 1 Hours Per Month/0 Hours During Securities Trading

10) 06/22/2023 - Ash Brokerage - Investment Related - At Reported Business Location(s) - Non-Variable Insurance - Start Date 04/11/2023 - 1 Hour Per Month/ 1 Hour During Securities Trading

End of Report



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