

BrokerCheck Report
Christian Shipman
 CRD# 6616444

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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:
 - 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.



Christian Shipman

CRD# 6616444

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

IA COMMONWEALTH FINANCIAL NETWORK
 6701 Westown Parkway
 Suite 260
 West Des Moines, IA 50266
 CRD# 8032
 Registered with this firm since: 05/27/2025

B COMMONWEALTH FINANCIAL NETWORK
 6701 Westown Parkway
 Suite 260
 West Des Moines, IA 50266
 CRD# 8032
 Registered with this firm since: 05/27/2025

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

Registration History

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

- B CETERA ADVISOR NETWORKS LLC**
 CRD# 13572
 WEST DES MOINES, IA
 06/2024 - 05/2025
- B CETERA ADVISORS LLC**
 CRD# 10299
 WEST DES MOINES, IA
 06/2024 - 05/2025
- B CETERA FINANCIAL SPECIALISTS LLC**
 CRD# 10358
 WEST DES MOINES, IA
 06/2024 - 05/2025

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

Employment 1 of 1

Firm Name: **COMMONWEALTH FINANCIAL NETWORK**

Main Office Address: **275 WYMAN STREET, STE. 400
WALTHAM, MA 02451**

Firm CRD#: **8032**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	05/27/2025
B	FINRA	General Securities Representative	Approved	05/27/2025

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	05/27/2025
IA	Iowa	Investment Adviser Representative	Approved	05/27/2025

Branch Office Locations

COMMONWEALTH FINANCIAL NETWORK

6701 Westown Parkway
Suite 260
West Des Moines, IA 50266



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

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	11/17/2023

General Industry/Product Exams

Exam	Category	Date
B General Securities Representative Examination	Series 7TO	01/21/2023
B Securities Industry Essentials Examination	SIE	07/06/2022

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	04/28/2023

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
B 06/2024 - 05/2025	CETERA ADVISOR NETWORKS LLC	13572	WEST DES MOINES, IA
B 06/2024 - 05/2025	CETERA ADVISORS LLC	10299	WEST DES MOINES, IA
B 06/2024 - 05/2025	CETERA FINANCIAL SPECIALISTS LLC	10358	WEST DES MOINES, IA
IA 06/2024 - 05/2025	CETERA INVESTMENT ADVISERS LLC	105644	WEST DES MOINES, IA
B 06/2024 - 05/2025	CETERA INVESTMENT SERVICES LLC	15340	WEST DES MOINES, IA
IA 05/2023 - 04/2024	PRINCIPAL SECURITIES, INC.	1137	DES MOINES, IA
B 01/2023 - 04/2024	PRINCIPAL SECURITIES, INC.	1137	DES MOINES, IA

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
05/2025 - Present	Bral Niedert Private Wealth Advisors	Staff Member	Y	West Des Moines, IA, United States
05/2025 - Present	Commonwealth Financial Network	Registered Staff Member	Y	Waltham, MA, United States
04/2024 - 05/2025	CETERA ADVISER NETWORKS LLC	Specialty Operations Supervisor	Y	EL SEGUNDO, CA, United States
04/2024 - 05/2025	CETERA ADVISORS LLC	Specialty Operations Supervisor	Y	GREENWOOD VILLAGE, CO, United States
04/2024 - 05/2025	CETERA FINANCIAL SPECIALISTS LLC	Specialty Operations Supervisor	Y	SCHAUMBURG, IL, United States
04/2024 - 05/2025	CETERA INVESTMENT ADVISORS LLC	Specialty Operations Supervisor	Y	W DES MOINES, IA, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
04/2024 - 05/2025	CETERA INVESTMENT SERVICES LLC	Specialty Operations Supervisor	Y	ST CLOUD, MN, United States
09/2022 - 04/2024	PRINCIPAL SECURITIES INC	REGISTERED REPRESENTATIVE	Y	DES MOINES, IA, United States
03/2020 - 04/2024	PRINCIPAL LIFE INSURANCE COMPANY	BROKERAGE ASSOCIATE	Y	DES MOINES, IA, United States
03/2018 - 02/2020	ADVISOR GROUP	OPERATIONS SPECIALIST	Y	PHOENIX, AZ, United States
03/2016 - 02/2020	CAMBRIDGE INVESTMENT RESEARCH	ONBOARDING SPECIALIST	Y	FAIRFIELD, IA, United States
01/2014 - 03/2016	TRANSAMERICA	CUSTOMER SERVICE	Y	CEDAR RAPIDS, IA, 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.

No information reported.

End of Report



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