

BrokerCheck Report

CHRISTOPHER JOSEPH MCGOVERN

CRD# 7256356

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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. MCGOVERN

CRD# 7256356

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

IA AGH WEALTH ADVISORS, LLC
 301 N. MAIN STREET
 SUITE 1700
 WICHITA, KS 67202
 CRD# 146796
 Registered with this firm since: 06/07/2023

B LPL FINANCIAL LLC
 301 N MAIN STREET SUITE 1700
 WICHITA, KS 67202-4817
 CRD# 6413
 Registered with this firm since: 05/05/2023

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
- 6 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 LPL FINANCIAL LLC
 CRD# 6413
 FORT MILL, SC
 05/2023 - 05/2023

IA ROYAL ALLIANCE ASSOCIATES, INC.
 CRD# 23131
 SCOTTSDALE, AZ
 03/2021 - 02/2023

B ROYAL ALLIANCE ASSOCIATES, INC.
 CRD# 23131
 WICHITA, KS
 11/2020 - 02/2023

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

Employment 1 of 2

Firm Name: **AGH WEALTH ADVISORS, LLC**

Main Office Address: **301 N. MAIN STREET
SUITE 1700
WICHITA, KS 67202**

Firm CRD#: **146796**

	U.S. State/ Territory	Category	Status	Date
IA	Kansas	Investment Adviser Representative	Approved	06/07/2023
IA	Texas	Investment Adviser Representative	Restricted Approval	11/12/2024

Branch Office Locations

301 N. MAIN STREET
SUITE 1700
WICHITA, KS 67202

Employment 2 of 2

Firm Name: **LPL FINANCIAL LLC**

Main Office Address: **1055 LPL WAY
FORT MILL, SC 29715**

Firm CRD#: **6413**

	SRO	Category	Status	Date
B	FINRA	General Securities Representative	Approved	05/05/2023

Broker Qualifications



Employment 2 of 2, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	11/28/2023
B	Illinois	Agent	Approved	11/28/2023
B	Kansas	Agent	Approved	05/05/2023
B	Kentucky	Agent	Approved	10/25/2023
B	Oklahoma	Agent	Approved	11/28/2023
B	Texas	Agent	Approved	06/30/2023

Branch Office Locations

LPL FINANCIAL LLC
301 N MAIN STREET SUITE 1700
WICHITA, KS 67202-4817



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 General Securities Representative Examination	Series 7TO	11/13/2020
B Securities Industry Essentials Examination	SIE	06/23/2020

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	01/11/2021

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 05/2023 - 05/2023	LPL FINANCIAL LLC	6413	FORT MILL, SC
IA 03/2021 - 02/2023	ROYAL ALLIANCE ASSOCIATES, INC.	23131	WICHITA, KS
B 11/2020 - 02/2023	ROYAL ALLIANCE ASSOCIATES, INC.	23131	WICHITA, KS

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
05/2023 - Present	AGH Wealth Advisors, LLC	Investment Adviser Representative	Y	Wichita, KS, United States
05/2023 - Present	Insight Wealth Strategies, LLC	Insurance Agent	Y	Wichita, KS, United States
05/2023 - Present	LPL Financial	Registered Representative	Y	Wichita, KS, United States
05/2020 - 02/2023	Royal Alliance	Reg Rep	Y	Wichita, KS, United States
08/2016 - 05/2020	Kansas State University	Student	N	Manhattan, KS, United States
10/2019 - 04/2020	Houlihan's	Server	N	Manhattan, KS, United States
06/2019 - 08/2019	Sedgwick County Public Works	Summer Help	N	Wichita, KS, United States
01/2019 - 05/2019	Chipotle	Cook	N	Manhattan, KS, United States
06/2018 - 08/2018	Commerce Bank	Intern	N	Wichita, KS, United States
02/2018 - 05/2018	Footlocker	Sales Associate	N	Manhattan, KS, United States
06/2017 - 08/2017	Sedgwick County Public Works	Summer Help	N	Wichita, KS, United States



Registration and Employment History

Employment History, continued

Employment	Employer Name	Position	Investment Related	Employer Location
01/2017 - 05/2017	Tradehome Shoes	Sales Associate	N	Manhattan, KS, United States
01/2012 - 12/2016	Andover High School	Student	N	Andover, KS, 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) 05/2023 - AGH Wealth Management - DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s) - 160hrs/month - 100% time spent
- 2) 05/2023 - AGH Wealth Advisors - DBA for LPL Business (entity for LPL business) - Inv. Related - At Reported Business Location(s) - 160hrs/month - 100% time spent
- 3) 05/2023 - Insight Wealth Strategies, LLC - Non-Variable Insurance - Inv. Related - Wichita, KS - Agent Selling Insurance- Start Date 04/17/2023 - 160hrs/month
- 4) 05/2023 - AGH Employer Solutions - Third Party Administrator (TPA) - Inv. Related - Wichita, KS - TPA Services - Start Date 04/17/2023 - 160hrs/month - 0% time spent
- 5) 06/13/2023 - AGH Wealth Advisors LLC - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - IAR - Start Date 04/17/2023 - 160 Hours Per Month/ 8 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through AGH Wealth Advisors LLC, an independent investment advisor firm. I started this business activity in 6/2023. 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.

End of Report



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