

BrokerCheck Report

CHRISTOPHER CHARLES AITKEN

CRD# 1470109

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Please be aware that fraudsters may link to BrokerCheck from phishing and similar scam websites, trying to steal your personal information or your money. Make sure you know who you're dealing with when investing, and contact FINRA with any concerns.

For more information read our [investor alert](#) on imposters.

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 C. AITKEN

CRD# 1470109

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

IA UBS FINANCIAL SERVICES INC.
816 HIGHWAY A1A NORTH
SUITE 300
PONTE VEDRA, FL 32082
CRD# 8174
Registered with this firm since: 05/17/2017

B UBS FINANCIAL SERVICES INC.
816 HIGHWAY A1A NORTH
SUITE 300
PONTE VEDRA, FL 32082
CRD# 8174
Registered with this firm since: 05/17/2017

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:

- 10 Self-Regulatory Organizations
- 23 U.S. states and territories

This broker has passed:

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

Registration History

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

- IA MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
NEW YORK, NY
04/2009 - 05/2017
- B MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED**
CRD# 7691
PONTE VEDRA BEACH, FL
04/2009 - 05/2017
- IA STANFORD CAPITAL MANAGEMENT, LLC**
CRD# 141553
HOUSTON, TX
11/2008 - 04/2009

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	1



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 10 SROs and is licensed in 23 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **UBS FINANCIAL SERVICES INC.**

Main Office Address: **1200 HARBOR BOULEVARD
WEEHAWKEN, NJ 07086**

Firm CRD#: **8174**

	SRO	Category	Status	Date
B	BOX Exchange LLC	General Securities Representative	Approved	05/17/2017
B	Cboe Exchange, Inc.	General Securities Representative	Approved	05/17/2017
B	FINRA	General Securities Representative	Approved	05/17/2017
B	NYSE American LLC	General Securities Representative	Approved	05/17/2017
B	NYSE Arca, Inc.	General Securities Representative	Approved	05/17/2017
B	NYSE Chicago, Inc.	General Securities Representative	Approved	08/18/2022
B	Nasdaq ISE, LLC	General Securities Representative	Approved	05/17/2017
B	Nasdaq PHLX LLC	General Securities Representative	Approved	05/17/2017
B	Nasdaq Stock Market	General Securities Representative	Approved	05/17/2017
B	New York Stock Exchange	General Securities Representative	Approved	05/17/2017

	U.S. State/ Territory	Category	Status	Date
B	Alabama	Agent	Approved	05/18/2017
B	Arizona	Agent	Approved	05/17/2017
B	California	Agent	Approved	05/17/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Colorado	Agent	Approved	05/17/2017
IA	Colorado	Investment Adviser Representative	Approved	05/17/2017
B	Delaware	Agent	Approved	02/07/2020
B	Florida	Agent	Approved	05/17/2017
IA	Florida	Investment Adviser Representative	Approved	05/18/2017
B	Idaho	Agent	Approved	05/17/2017
B	Illinois	Agent	Approved	08/25/2022
B	Kentucky	Agent	Approved	10/11/2021
B	Maine	Agent	Approved	05/18/2017
B	Maryland	Agent	Approved	05/17/2017
B	Massachusetts	Agent	Approved	04/14/2022
B	Michigan	Agent	Approved	05/17/2017
B	Missouri	Agent	Approved	01/25/2022
B	Nevada	Agent	Approved	03/16/2020
B	New Mexico	Agent	Approved	04/27/2021
B	New York	Agent	Approved	05/17/2017
B	Ohio	Agent	Approved	09/11/2019
B	Oregon	Agent	Approved	01/15/2019
B	Pennsylvania	Agent	Approved	05/17/2017
B	Texas	Agent	Approved	05/17/2017
IA	Texas	Investment Adviser Representative	Restricted Approval	05/17/2017



Broker Qualifications

Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Virginia	Agent	Approved	05/17/2017
B	Wyoming	Agent	Approved	02/26/2021

Branch Office Locations

UBS FINANCIAL SERVICES INC.
816 HIGHWAY A1A NORTH
SUITE 300
PONTE VEDRA, FL 32082



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, 3 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 Securities Industry Essentials Examination	SIE	10/01/2018
B National Commodity Futures Examination	Series 3	07/28/1992
B General Securities Representative Examination	Series 7	03/15/1986

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	12/26/1991
B Uniform Securities Agent State Law Examination	Series 63	03/21/1986

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 04/2009 - 05/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PONTE VEDRA BEACH, FL
B 04/2009 - 05/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	7691	PONTE VEDRA BEACH, FL
IA 11/2008 - 04/2009	STANFORD CAPITAL MANAGEMENT, LLC	141553	BALTIMORE, MD
B 11/2008 - 04/2009	STANFORD GROUP COMPANY	39285	BALTIMORE, MD
IA 01/1994 - 12/2008	CITIGROUP GLOBAL MARKETS INC.	7059	LUTHERVILLE, MD
B 07/1993 - 12/2008	CITIGROUP GLOBAL MARKETS INC.	7059	LUTHERVILLE, MD
B 03/1986 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY

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
05/2017 - Present	UBS Financial Services Inc.	Financial Advisor	Y	Ponte Vedra, FL, United States
04/2009 - 05/2017	MERRILL LYNCH, PIERCE, FENNER & SMITH INCORPORATED	FINANCIAL ADVISOR	Y	PONTE VEDRA BEACH, FL, 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.

Ferrari Culb of America / PO Box 631248 Highlands Ranch, CO 80163 / Association (e.g. Trade or Industry, Sport)/ Sport & Leisure Facilities / This club provides access to a variety of member only events for Ferrari owners. / Other / President of the local club chapter / Organize meetings for the local members to get together / Start Date 11/19/2017/ 43058 /

Registration and Employment History



Other Business Activities, continued



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:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - 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.
 -
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - 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.
 -
4. **There are different statuses and dispositions for disclosure events:**
 - 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.
 - 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	0	1	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 - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 1

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	UBS Financial Services, Inc.
Allegations:	Aitken was a subject of the customers' complaint against his member firm that asserted the following causes of action: breach of fiduciary duty; negligence; negligent supervision; fraud; breach of contract; violation of Section 10(b) of the Securities Exchange Act and Rule 10b-5 of the Securities and Exchange Commission; and violation of the Florida Securities and Investor Protection Act.
Product Type:	Options
Alleged Damages:	\$5,000,000.00
Arbitration Information	
Arbitration/Reparation Claim filed with and Docket/Case No.:	FINRA - CASE #19-01723
Date Notice/Process Served:	06/18/2019
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	07/18/2022
Disposition Detail:	Aitken was a subject of the customers' complaint alleging Aitken and his member firm caused sales practice violations. Aitken's member firm is liable for breach of fiduciary duty, negligence, negligent supervision, and violation of the Florida



Securities and Investor Protection Act and shall pay to Claimants the sum of \$147,192.00 in compensatory damages; is liable for and shall pay to Claimants the sum of \$60,677.00 in costs; is liable for and shall pay to Claimants the sum of \$44,158.00 in attorneys' fees; and is liable and shall reimburse Claimants the sum of \$600.00, which represents the non-refundable portion of the filing fee previously paid to FINRA Dispute Resolution Services.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	UBS Financial Services Inc
Allegations:	Time frame: 2017 - Present Allegations: Claimant's Counsel alleges unsuitability and misrepresentation regarding an options overlay strategy investment.
Product Type:	Other: In House Wrap Fee
Alleged Damages:	\$5,000,000.00
Alleged Damages Amount Explanation (if amount not exact):	Review shows that Claimant's Counsel amended damages claim from a fixed number to a range between \$1,000,000 - \$5,000,000.
Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	Yes
Arbitration/Reparation forum or court name and location:	FINRA ARBITRATION
Docket/Case #:	19-01723
Filing date of arbitration/CFTC reparation or civil litigation:	06/19/2019
Customer Complaint Information	
Date Complaint Received:	06/19/2019
Complaint Pending?	No
Status:	Arbitration Award/Monetary Judgment (for claimants/plaintiffs)



Status Date:	07/18/2022
Settlement Amount:	\$252,627.00
Individual Contribution Amount:	\$0.00
Broker Statement	Updating the Alleged Damage amount as request in Disclosure Letters.

End of Report



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