

BrokerCheck Report

Christopher John Carpenter

CRD# 6601132

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

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This broker is not currently registered.

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 not currently registered.

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):

- B** **LPL FINANCIAL LLC**
CRD# 6413
CHARLOTTE, NC
03/2020 - 02/2023
- B** **SPIRE SECURITIES, LLC**
CRD# 144131
Charlotte, NC
05/2017 - 03/2020
- B** **JANNEY MONTGOMERY SCOTT LLC**
CRD# 463
PURCHASE, NY
07/2016 - 04/2017

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 broker is not currently registered.



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 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	03/01/2016

State Securities Law Exams

Exam	Category	Date
B IA Uniform Combined State Law Examination	Series 66	03/25/2016

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 03/2020 - 02/2023	LPL FINANCIAL LLC	6413	CHARLOTTE, NC
B 05/2017 - 03/2020	SPIRE SECURITIES, LLC	144131	Charlotte, NC
B 07/2016 - 04/2017	JANNEY MONTGOMERY SCOTT LLC	463	PURCHASE, NY
B 03/2016 - 08/2016	STIFEL, NICOLAUS & COMPANY, INCORPORATED	793	WHITE PLAINS, 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
03/2020 - Present	Independent Advisor Alliance	Investment Advisor Representative	Y	Charlotte, NC, United States
03/2020 - Present	LPL Financial LLC	Registered Representative	Y	Charlotte, NC, United States
03/2017 - Present	SilverRock	Administration	Y	Charlotte, NC, United States
05/2017 - 02/2020	Spire Investment Partners, LLC	Investment Advisor	Y	Charlotte, NC, United States
07/2016 - 02/2017	JANNEY MONTGOMERY SCOTT LLC	FINANCIAL ADVISOR	Y	PURCHASE, NY, United States
01/2016 - 07/2016	Stifel	Financial Advisor Trainee	Y	West Harrison, NY, United States
05/2015 - 01/2016	Baseball Lessons	Coach	N	Boston, MA, United States
02/2015 - 04/2015	Cincinnati Reds	pitcher	N	Cincinnati, OH, United States
02/2014 - 02/2015	Yakult Swallows	pitcher	N	Tokyo, Japan
02/2012 - 01/2014	Boston Red Sox	pitcher	N	Boston, MA, United States



Registration and Employment History

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. 3/6/2020 - SilverRock Wealth Partners - Investment Related - At Reported Business Location(s) - DBA for LPL Business (entity for LPL business) - Started 03/2020 - 160 Hours Per Month During Securities Trading - Time Spent 100%.
 2. 3/11/2020 - Independent Advisor Alliance - DBA: (Hybrid) SilverRock Wealth Partners - Investment Related - At Reported Business Location(s) - Registered Investment Advisor DBA - Started 03/2020 - I provide investment advisory services through Independent Advisor Alliance, LLC, an independent investment advisor firm. I started this business activity in 3/2020. 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.
 3. 3/11/2020 - Independent Advisor Alliance - Investment Related - At Reported Business Location(s) - Registered Investment Advisor Hybrid - Started 03/2020 - 160 Hours Per Month/8 Hours During Securities Trading - Time Spent 100% - I provide investment advisory services through Independent Advisor Alliance, LLC, an independent investment advisor firm. I started this business activity in 3/2020. 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.
 4. 1/21/2021 - ISI Elite Training-Nashville - Not Investment Related - Nashville, TN - Other-Business Owner - Start Date: 1/8/2021 - 5 Hours Per Month/0 Hours During Securities Trading - Franchise fitness studio.
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End of Report



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