

BrokerCheck Report

PARSONEX SECURITIES, INC.

CRD# 144412

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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.



PARSONEX SECURITIES, INC.

CRD# 144412

SEC# 8-67652

Main Office Location

8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112
Regulated by FINRA Denver Office

Mailing Address

8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112

Business Telephone Number

303-662-8700

Report Summary for this Firm

This report summary provides an overview of the brokerage firm. Additional information for this firm can be found in the detailed report.

Firm Profile

This firm is classified as a corporation.

This firm was formed in Colorado on 03/07/2007.

Its fiscal year ends in December.

Firm History

Information relating to the brokerage firm's history such as other business names and successions (e.g., mergers, acquisitions) can be found in the detailed report.

Firm Operations

This firm is registered with:

- the SEC
- 1 Self-Regulatory Organization
- 50 U.S. states and territories

Is this brokerage firm currently suspended with any regulator? **No**

This firm conducts 4 types of businesses.

This firm is affiliated with financial or investment institutions.

This firm does not have referral or financial arrangements with other brokers or dealers.

Disclosure Events

Brokerage firms are required to disclose certain criminal matters, regulatory actions, civil judicial proceedings and financial matters in which the firm or one of its control affiliates has been involved.

Are there events disclosed about this firm? **No**



Firm Profile

This firm is classified as a corporation.
This firm was formed in Colorado on 03/07/2007.
Its fiscal year ends in December.

Firm Names and Locations

This section provides the brokerage firm's full legal name, "Doing Business As" name, business and mailing addresses, telephone number, and any alternate name by which the firm conducts business and where such name is used.

PARSONEX SECURITIES, INC.
Doing business as PARSONEX SECURITIES, INC.
CRD# 144412
SEC# 8-67652

Main Office Location

8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112

Regulated by FINRA Denver Office

Mailing Address

8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112

Business Telephone Number

303-662-8700

Other Names of this Firm

Name	Where is it used
PARSONEX FINANCIAL SERVICES, INC.	AK, AL, AR, AZ, CA, CO, CT, DC, FL, GA, HI, IA, ID, IL, KS, MD, MI, MN, MO, NC, ND, NH, NJ, NM, NV, NY, OH, OK, OR, PA, TX, UT, VA, WA, WI, WV, WY



Firm Profile

This section provides information relating to all direct owners and executive officers of the brokerage firm.

Direct Owners and Executive Officers

Legal Name & CRD# (if any): PARSONEX ENTERPRISES, INC.

Is this a domestic or foreign entity or an individual? Domestic Entity

Position SHAREHOLDER

Position Start Date 02/2012

Percentage of Ownership 75% or more

Does this owner direct the management or policies of the firm? Yes

Is this a public reporting company? No

Legal Name & CRD# (if any): DIAMOS, ANTHONY SOLON

4872899

Is this a domestic or foreign entity or an individual? Individual

Position FINOP/CFO, PRINCIPAL FINANCIAL OFFICER, PRINCIPAL OPERATIONS OFFICER

Position Start Date 03/2007

Percentage of Ownership Less than 5%

Does this owner direct the management or policies of the firm? No

Is this a public reporting company? No

Legal Name & CRD# (if any): MILLER, JONATHAN EDWARD

4153196

Is this a domestic or foreign entity or an individual? Individual

Position PRESIDENT / CEO

Position Start Date 03/2007

Firm Profile



Direct Owners and Executive Officers (continued)

Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No
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Legal Name & CRD# (if any):	NEUSTROM, BRIAN WILLIAM 5530526
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER
Position Start Date	09/2021
Percentage of Ownership	Less than 5%
Does this owner direct the management or policies of the firm?	No
Is this a public reporting company?	No
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Firm Profile

This section provides information relating to any indirect owners of the brokerage firm.



Indirect Owners

Legal Name & CRD# (if any):	MILLER, JONATHAN EDWARD 4153196
Is this a domestic or foreign entity or an individual?	Individual
Company through which indirect ownership is established	PARSONEX ENTERPRISES, INC.
Relationship to Direct Owner	SHAREHOLDER
Relationship Established	02/2012
Percentage of Ownership	75% or more
Does this owner direct the management or policies of the firm?	Yes
Is this a public reporting company?	No

Firm History

This section provides information relating to any successions (e.g., mergers, acquisitions) involving the firm.

No information reported.





Firm Operations

Registrations

This section provides information about the regulators (Securities and Exchange Commission (SEC), self-regulatory organizations (SROs), and U.S. states and territories) with which the brokerage firm is currently registered and licensed, the date the license became effective, and certain information about the firm's SEC registration.

This firm is currently registered with the SEC, 1 SRO and 50 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	11/27/2007

SEC Registration Questions

This firm is registered with the SEC as:

A broker-dealer: Yes

A broker-dealer and government securities broker or dealer: No

A government securities broker or dealer only: No

This firm has ceased activity as a government securities broker or dealer: No

Self-Regulatory Organization	Status	Date Effective
FINRA	Approved	11/27/2007



Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
Alabama	Approved	05/09/2008
Alaska	Approved	09/30/2009
Arizona	Approved	01/02/2008
Arkansas	Approved	08/17/2010
California	Approved	12/06/2007
Colorado	Approved	12/06/2007
Connecticut	Approved	08/04/2010
Delaware	Approved	02/15/2018
District of Columbia	Approved	05/05/2011
Florida	Approved	01/28/2009
Georgia	Approved	03/27/2009
Hawaii	Approved	06/16/2008
Idaho	Approved	10/05/2010
Illinois	Approved	01/02/2008
Indiana	Approved	02/16/2018
Iowa	Approved	01/22/2008
Kansas	Approved	05/08/2008
Kentucky	Approved	03/02/2015
Louisiana	Approved	08/12/2019
Maryland	Approved	05/27/2008
Massachusetts	Approved	02/12/2015
Michigan	Approved	05/08/2008
Minnesota	Approved	04/01/2008
Mississippi	Approved	06/10/2015
Missouri	Approved	05/16/2008
Montana	Approved	05/17/2021
Nebraska	Approved	08/07/2014
Nevada	Approved	04/28/2008
New Hampshire	Approved	10/15/2012
New Jersey	Approved	04/19/2010
New Mexico	Approved	04/09/2008
New York	Approved	04/07/2008
North Carolina	Approved	08/02/2010

U.S. States & Territories	Status	Date Effective
North Dakota	Approved	05/04/2023
Ohio	Approved	12/23/2008
Oklahoma	Approved	04/14/2008
Oregon	Approved	05/05/2011
Pennsylvania	Approved	02/24/2009
Rhode Island	Approved	09/30/2016
South Carolina	Approved	01/22/2014
South Dakota	Approved	01/28/2016
Tennessee	Approved	02/11/2016
Texas	Approved	01/09/2008
Utah	Approved	04/19/2010
Vermont	Approved	01/14/2015
Virginia	Approved	08/01/2008
Washington	Approved	05/05/2010
West Virginia	Approved	01/21/2009
Wisconsin	Approved	07/12/2012
Wyoming	Approved	01/02/2008



Firm Operations

Types of Business

This section provides the types of business, including non-securities business, the brokerage firm is engaged in or expects to be engaged in.

This firm currently conducts 4 types of businesses.

Types of Business

Mutual fund retailer
Municipal securities broker
Broker or dealer selling variable life insurance or annuities
Other - PARSONEX SECURITIES WILL OFFER 529 PLANS TO ITS CUSTOMERS.

Other Types of Business

This firm does not effect transactions in commodities, commodity futures, or commodity options.
This firm does not engage in other non-securities business.

Non-Securities Business Description:

Firm Operations



Clearing Arrangements

This firm does not hold or maintain funds or securities or provide clearing services for other broker-dealer(s).

Introducing Arrangements

This firm does not refer or introduce customers to other brokers and dealers.

Firm Operations

Industry Arrangements



This firm does not have books or records maintained by a third party.

This firm does not have accounts, funds, or securities maintained by a third party.

This firm does not have customer accounts, funds, or securities maintained by a third party.

Control Persons/Financing

This firm does not have individuals who control its management or policies through agreement.

This firm does not have individuals who wholly or partly finance the firm's business.



Firm Operations

Organization Affiliates

This section provides information on control relationships the firm has with other firms in the securities, investment advisory, or banking business.

This firm is, directly or indirectly:

- in control of
 - controlled by
 - or under common control with
- the following partnerships, corporations, or other organizations engaged in the securities or investment advisory business.**

PARSONEX SPECIAL SITUATIONS FUND, LLC is under common control with the firm.

Business Address:	8310 SOUTH VALLEY HIGHWAY SUITE 110 ENGLEWOOD, CO 80112
Effective Date:	10/20/2020
Foreign Entity:	No
Country:	
Securities Activities:	Yes
Investment Advisory Activities:	No
Description:	PARSONEX ENTERPRISES, INC. WHOLLY OWNS PARSONEX SECURITIES, INC AND PARTIALLY OWNS PARSONEX SPECIAL SITUATIONS FUND, LLC. JONATHAN MILLER IS THE MAJORITY OWNER OF PARSONEX ENTERPRISES, INC.

E. MAGNUS OPPENHEIM & CO. INC. is under common control with the firm.

CRD #:	14268
Business Address:	575 LEXINGTON AVE 17TH FLOOR NEW YORK, NY 10022
Effective Date:	02/13/2023
Foreign Entity:	No
Country:	
Securities Activities:	No
Investment Advisory Activities:	Yes

Firm Operations



Organization Affiliates (continued)

Description: PARSONEX ENTERPRISES, INC., A COLORADO CORPORATION IS THE MAJORITY OWNER AND PARENT COMPANY OF BOTH PARSONEX SECURITIES, INC. AND PARSONEX ADVISORY SERVICES, INC, AND E. MAGNUS OPPENHEIM & CO, INC.

PARSONEX OPPORTUNITY FUND I, LLC is under common control with the firm.

Business Address: 8310 S VALLEY HIGHWAY STE. 110
ENGLEWOOD, CO 80112

Effective Date: 03/14/2019

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: PARSONEX ENTERPRISES, INC. WHOLLY OWNS PARSONEX SECURITIES, INC AND PARTIALLY OWNS PARSONEX OPPORTUNITY FUND I, LLC. JONATHAN MILLER IS THE MAJORITY OWNER OF PARSONEX ENTERPRISES, INC.

PARSONEX CAPITAL ADVISORS, LLC is under common control with the firm.

Business Address: 8310 S VALLEY HIGHWAY STE. 110
ENGLEWOOD, CO 80112

Effective Date: 03/01/2019

Foreign Entity: No

Country:

Securities Activities: No

Investment Advisory Activities: Yes

Description: PARSONEX ENTERPRISES, INC. WHOLLY OWNS PARSONEX SECURITIES, INC AND PARTIALLY OWNS PARSONEX CAPITAL ADVISORS, LLC. JONATHAN MILLER IS THE MAJORITY OWNER OF PARSONEX ENTERPRISES, INC.

PARSONEX PROPERTIES, LLC is under common control with the firm.

Business Address: 8310 S VALLEY HIGHWAY STE. 110
ENGLEWOOD, CO 80112

Firm Operations



Organization Affiliates (continued)

Effective Date: 03/01/2019

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: PARSONEX ENTERPRISES, INC. WHOLLY OWNS PARSONEX SECURITIES, INC AND PARTIALLY OWNS PARSONEX PROPERTIES, LLC. JONATHAN MILLER IS THE MAJORITY OWNER OF PARSONEX ENTERPRISES, INC.

PARSONEX CAPITAL MARKETS, LLC is under common control with the firm.

CRD #: 169578

Business Address: 8310 S. VALLEY HIGHWAY, STE. 110
ENGLEWOOD, CO 80112

Effective Date: 11/16/2016

Foreign Entity: No

Country:

Securities Activities: Yes

Investment Advisory Activities: No

Description: PARSONEX ENTERPRISES, INC. WHOLLY OWNS PARSONEX SECURITIES, INC. AND PARTIALLY OWNS PARSONEX CAPITAL MARKETS, LLC JONATHAN MILLER IS THE MAJORITY OWNER OF PARSONEX ENTERPRISES, INC.

PARSONEX ADVISORY SERVICES, INC. is under common control with the firm.

CRD #: 160275

Business Address: 8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112

Effective Date: 03/28/2012

Foreign Entity: No

Country:

Securities Activities: No

Firm Operations



Organization Affiliates (continued)

Investment Advisory Activities:	Yes
Description:	PARSONEX ENTERPRISES, INC., A COLORADO CORPORATION IS THE MAJORITY OWNER AND PARENT COMPANY OF BOTH PARSONEX SECURITIES, INC. AND PARSONEX ADVISORY SERVICES, INC.

This firm is not directly or indirectly, controlled by the following:

- bank holding company
- national bank
- state member bank of the Federal Reserve System
- state non-member bank
- savings bank or association
- credit union
- or foreign bank

End of Report



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