BrokerCheck Report

BILL PARKER AGENCY

CRD# 6783

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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.
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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.

BILL PARKER AGENCY

CRD# 6783

SEC# 8-20744

Main Office Location

4528 MILLRACE RD.
SACRAMENTO, CA 95864-0826

Mailing Address

PO BOX 201
CARMICHAEL, CA 95609-0201

Business Telephone Number

8664885222

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 partnership.

This firm was formed in California on 01/09/1986.

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 brokerage firm is no longer registered with FINRA or a national securities exchange.

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?	**Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	5

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Firm Profile

This firm is classified as a partnership.

This firm was formed in California on 01/09/1986.

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.

BILL PARKER AGENCY

Doing business as BILL PARKER AGENCY

CRD# 6783

SEC# 8-20744

Main Office Location

4528 MILLRACE RD.
SACRAMENTO, CA 95864-0826

Mailing Address

PO BOX 201
CARMICHAEL, CA 95609-0201

Business Telephone Number

8664885222

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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):	PARKER, BRENDA LEE 2179361
Is this a domestic or foreign entity or an individual?	Individual
Position	FINANCIAL OPERATIONS PRINCIPAL
Position Start Date	01/2004
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):	PARKER, BRENDA LEE 2179361
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF FINANCIAL OFFICER
Position Start Date	01/2004
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):	PARKER, BRENDA LEE 2179361
Is this a domestic or foreign entity or an individual?	Individual
Position	CHIEF COMPLIANCE OFFICER

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Firm Profile

Direct Owners and Executive Officers (continued)

Position Start Date	01/2004
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

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Firm Profile

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

Indirect Owners

No information reported.

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Firm History

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

No information reported.

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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, 0 SROs and 2 U.S. states and territories.

Federal Regulator	Status	Date Effective
SEC	Approved	03/17/1976

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

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Firm Operations

Registrations (continued)

U.S. States & Territories	Status	Date Effective
California	Approved	09/20/1993
Nevada	Limited	06/01/1994

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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 2 types of businesses.

Types of Business

Mutual fund retailer
Broker or dealer selling variable life insurance or annuities

Other Types of Business

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

Non-Securities Business Description: 11B SALES OF LIFE AND HEALTH INSURANCE.

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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.

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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.

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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 not, 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.

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**

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Disclosure Events

All firms registered to sell securities or provide investment advice are required to disclose regulatory actions, criminal or civil judicial proceedings, and certain financial matters in which the firm or one of its control affiliates has been involved. For your convenience, below is a matrix of the number and status of disclosure events involving this brokerage firm or one of its control affiliates. Further information regarding these events can be found in the subsequent pages of this report.

	Pending	Final	On Appeal
Regulatory Event	0	5	0

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Disclosure Event Details

What you should know about reported disclosure events:

1. **BrokerCheck provides details for any disclosure event that was reported in CRD. It also includes summary information regarding FINRA arbitration awards in cases where the brokerage firm was named as a respondent.**
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 brokerage firm is required to disclose a particular criminal event.
3. **Disclosure events in BrokerCheck reports come from different sources:**
   - Disclosure events for this brokerage firm were reported by the firm and/or regulators. When the firm and a regulator report information for the same event, both 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 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.
5. **You may wish to contact the brokerage firm to obtain further information regarding any of the disclosure events contained in this BrokerCheck report.**

Regulatory - Final

This type of disclosure event involves (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the U.S. Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of the authority of a brokerage firm or its control affiliate to act as an attorney, accountant or federal contractor.

Disclosure 1 of 5

Reporting Source:	Regulator
Current Status:	Final

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Allegations:	RESPONDENT BILL PARKER AGENCY FAILED TO FILE ITS MARCH 2026 FOCUS REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.
Initiated By:	FINRA
Date Initiated:	05/11/2026
Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	08/14/2026
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO FINRA RULE 9552(H) AND IN ACCORDANCE WITH FINRA'S NOTICE OF SUSPENSION AND SUSPENSION FROM ASSOCIATION LETTERS DATED MAY 11, 2026, AND JUNE 4, 2026, RESPECTIVELY, ON AUGUST 14, 2026, THE FIRM IS EXPELLED FROM FINRA MEMBERSHIP. THE FIRM FAILED TO REQUEST TERMINATION OF ITS SUSPENSION WITHIN THREE MONTHS OF THE DATE OF THE NOTICE OF SUSPENSION; THEREFORE, IT IS AUTOMATICALLY EXPELLED FROM FINRA MEMBERSHIP.

Disclosure 2 of 5

Reporting Source:	Regulator
Current Status:	Final
Allegations:	RESPONDENT BILL PARKER AGENCY FAILED TO FILE ITS MARCH 2026 FORM CUSTODY REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.

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Initiated By:	FINRA
Date Initiated:	05/11/2026
Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	08/14/2026
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO FINRA RULE 9552(H) AND IN ACCORDANCE WITH FINRA'S NOTICE OF SUSPENSION AND SUSPENSION FROM ASSOCIATION LETTERS DATED MAY 11, 2026, AND JUNE 4, 2026, RESPECTIVELY, ON AUGUST 14, 2026, THE FIRM IS EXPELLED FROM FINRA MEMBERSHIP. THE FIRM FAILED TO REQUEST TERMINATION OF ITS SUSPENSION WITHIN THREE MONTHS OF THE DATE OF THE NOTICE OF SUSPENSION; THEREFORE, IT IS AUTOMATICALLY EXPELLED FROM FINRA MEMBERSHIP.

Disclosure 3 of 5

Reporting Source:	Regulator
Current Status:	Final
Allegations:	RESPONDENT BILL PARKER AGENCY FAILED TO FILE ITS MARCH 2026 SUPPLEMENTAL STATEMENT OF INCOME REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.
Initiated By:	FINRA
Date Initiated:	05/13/2026

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Docket/Case Number:	N/A
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	08/17/2026
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO FINRA RULE 9552(H) AND IN ACCORDANCE WITH FINRA'S NOTICE OF SUSPENSION AND SUSPENSION FROM ASSOCIATION LETTERS DATED MAY 13, 2026, AND JUNE 18, 2026, RESPECTIVELY, ON AUGUST 17, 2026, THE FIRM IS EXPELLED FROM FINRA MEMBERSHIP. THE FIRM FAILED TO REQUEST TERMINATION OF ITS SUSPENSION WITHIN THREE MONTHS OF THE DATE OF THE NOTICE OF SUSPENSION; THEREFORE, IT IS AUTOMATICALLY EXPELLED FROM FINRA MEMBERSHIP.

Disclosure 4 of 5

Reporting Source:	Regulator
Current Status:	Final
Allegations:	RESPONDENT BILL PARKER AGENCY FAILED TO FILE ITS DECEMBER 2025 ANNUAL AUDIT REPORT WITHIN 21 DAYS AFTER SERVICE OF THE NOTICE OF SUSPENSION.
Initiated By:	FINRA
Date Initiated:	04/29/2026
Docket/Case Number:	
Principal Product Type:	No Product

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Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Suspension
Other Sanction(s)/Relief Sought:	
Resolution:	Other
Resolution Date:	08/09/2026
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Sanctions Ordered:	Revocation/Expulsion/Denial
Other Sanctions Ordered:	
Sanction Details:	PURSUANT TO FINRA RULE 9552(H) AND IN ACCORDANCE WITH FINRA'S NOTICE OF SUSPENSION AND SUSPENSION FROM ASSOCIATION LETTERS DATED APRIL 29, 2026, AND JUNE 4, 2026, RESPECTIVELY, ON AUGUST 9, 2026, THE FIRM IS EXPELLED FROM FINRA MEMBERSHIP. THE FIRM FAILED TO REQUEST TERMINATION OF ITS SUSPENSION WITHIN THREE MONTHS OF THE DATE OF THE NOTICE OF SUSPENSION; THEREFORE, IT IS AUTOMATICALLY EXPELLED FROM FINRA MEMBERSHIP.

Disclosure 5 of 5

Reporting Source:	Regulator
Current Status:	Final
Allegations:	THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTIONS 15(B) AND 21C OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AGAINST BILL PARKER AGENCY ("BP AGENCY" OR "RESPONDENT"). THE COMMISSION FINDS THAT THIS MATTER INVOLVES BP AGENCY'S FAILURE TO FILE WITH THE COMMISSION AND TO DELIVER TO RETAIL INVESTORS ITS FORM CRS. BP AGENCY WAS REQUIRED TO FILE ITS INITIAL FORM CRS WITH THE COMMISSION AND TO BEGIN DELIVERING ITS FORM CRS TO PROSPECTIVE AND NEW RETAIL INVESTORS, AS

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	APPLICABLE, BY JUNE 30, 2020. BP AGENCY WAS FURTHER REQUIRED TO DELIVER ITS FORM CRS TO EXISTING RETAIL INVESTOR CUSTOMERS BY JULY 30, 2020. THE FIRM FAILED TO FILE AND DELIVER FORM CRS BY THESE DEADLINES, NOT BECOMING COMPLIANT UNTIL JULY 14, 2021. AS A RESULT, BP AGENCY VIOLATED EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER.
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	07/26/2021
Docket/Case Number:	3-20434
Principal Product Type:	No Product
Other Product Type(s):	
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	
Resolution:	Order
Resolution Date:	07/26/2021
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	Yes
Sanctions Ordered:	Censure Monetary/Fine $10,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	RESPONDENT IS CENSURED; ORDERED TO CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER; AND SHALL PAY A CIVIL MONEY PENALTY OF $10,000 TO THE COMMISSION.
Regulator Statement	RESPONDENT HAS SUBMITTED AN OFFER OF SETTLEMENT, WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. RESPONDENT WILLFULLY VIOLATED EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER. ACCORDINGLY, IT IS HEREBY ORDERED THAT THE RESPONDENT CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF EXCHANGE ACT SECTION 17(A)(1) AND RULE 17A-14 THEREUNDER; IS CENSURED; AND SHALL PAY A

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CIVIL MONEY PENALTY OF $10,000 TO THE COMMISSION.

Reporting Source:	Firm
Current Status:	Final
Allegations:	LATE FILING OF FORM CRS
Initiated By:	U.S. SECURITIES AND EXCHANGE COMMISSION
Date Initiated:	07/26/2021
Docket/Case Number:	ADMINISTRATIVE PROCEEDING FILE NO. 3-20434
Principal Product Type:	Mutual Fund(s)
Other Product Type(s):	VARIABLE ANNUITIES
Principal Sanction(s)/Relief Sought:	Cease and Desist
Other Sanction(s)/Relief Sought:	CENSURE REMEDIAL SANCTIONS/ADMINISTRATIVE-FINE
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	07/26/2021
Sanctions Ordered:	Censure Monetary/Fine $10,000.00 Cease and Desist/Injunction
Other Sanctions Ordered:	
Sanction Details:	$10,000 FINE AGAINST BD. FINAL PAYMENT 6/30/22, CREDITED 7/1/21.
Firm Statement	WE DID NOT BELIEVE THE FORM CRS REQUIREMENT APPLIED TO OUR BUSINESS. OUR REQUEST TO REGULATORY REP TO VERIFY THAT UNDERSTANDING WENT UNANSWERED WHILE WE WERE REFERRED TO SEC FOR ENFORCEMENT ACTION. WHEN WE WERE INFORMED WE WERE IN VIOLATION WE AGAIN REQUESTED ASSISTANCE FROM REGULATORY REP AND FILED AND DELIVERED FORM CRS BEFORE ACTION DATE. WE WERE GIVEN 12 MONTHS FROM AUGUST 21 TO PAY FINE. FINE PAYMENT WAS COMPLETED BY JULY 1, 2022.

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End of Report



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