

BrokerCheck Report

CHRISTINA DORIS PARRA

CRD# 1139230

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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.

CHRISTINA D. PARRA

CRD# 1139230

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
- 3 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

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

B UBS FINANCIAL SERVICES INC.CRD# 8174
WASHINGTON, DC
08/2010 - 04/2021**B WELLS FARGO ADVISORS, LLC**CRD# 19616
WASHINGTON, DC
03/2009 - 06/2010**B CITIGROUP GLOBAL MARKETS INC.**CRD# 7059
WASHINGTON, DC
07/1993 - 03/2009**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	4
Termination	1
Judgment/Lien	1

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. 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, 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 Futures Managed Funds Examination	Series 31	06/05/2006
B General Securities Representative Examination	Series 7	07/20/1985

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/02/1992
B Uniform Securities Agent State Law Examination	Series 63	01/17/1992

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 08/2010 - 04/2021	UBS FINANCIAL SERVICES INC.	8174	WASHINGTON, DC
B 03/2009 - 06/2010	WELLS FARGO ADVISORS, LLC	19616	WASHINGTON, DC
B 07/1993 - 03/2009	CITIGROUP GLOBAL MARKETS INC.	7059	WASHINGTON, DC
B 04/1988 - 07/1993	LEHMAN BROTHERS INC.	7506	NEW YORK, NY
B 07/1985 - 04/1988	E. F. HUTTON & COMPANY INC	235	

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
08/2010 - Present	UBS FINANCIAL SERVICES INC	INVESTMENT ADVISOR	Y	WASHINGTON, DC, 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.

LANTINOS IN SYNC / 1475 LUNA DRIVE DOWNTON,PA 19355 / OTHER/ SERVICES / ONLINE DIRECTORY AND RESOURCE GUIDE FOR THE HISPANIC COMMUNITY / PARTNER / / I AM LENDING ADVICES ON HOW THE DIRECTORY SHOULD WORK / START DATE 8/1/2014

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

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY

Allegations: CLAIMANT ALLEGES THAT BEGINNING IN 1999 THIS INDIVIDUAL ENGAGED IN UNAUTHORIZED, EXCESSIVE AND HIGH-RISK TRADING ON MARGIN REGARDING SECURITIES AND MUTUAL FUNDS. ADDITIONAL ALLEGATIONS INCLUDE UNSUITABILITY, BREACH OF FIDUCIARY DUTY, VIOLATION OF MD SECURITIES ACT, VIOLATION OF 1934 SECURITIES AND EXCHANGE ACT AND RULE 10B-5, FRAUD, BREACH OF CONTRACT AND NEGLIGENCE. FAILURE TO SUPERVISE IS ALSO ALLEGED. JANUARY 1999 - 2003

Product Type: Mutual Fund(s)

Alleged Damages: \$400,000.00

Customer Complaint Information

Date Complaint Received: 01/05/2005

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 01/05/2005

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim NASD 04-08746

filed with and Docket/Case No.:

Date Notice/Process Served: 01/05/2005

Arbitration Pending? No

Disposition: Settled

Disposition Date: 05/16/2006

Monetary Compensation Amount: \$70,000.00

Individual Contribution Amount: \$0.00

Disclosure 2 of 2

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: UNSUITABILITY, UNSUITABLE USE OF MARGIN, OVERCONCENTRATION, MISREPRESENTATION, FAILURE TO FOLLOW INSTRUCTIONS TO PURCHASE MUTUAL FUNDS, FRAUD, BREACH OF FIDUCIARY DUTY AND NEGLIGENCE FROM DECEMBER 1, 1999 THROUGH JUNE 30, 2002.

Product Type: Equity Listed (Common & Preferred Stock)

Other Product Type(s): EQUITY-OTC

Alleged Damages: \$374,646.84

Customer Complaint Information

Date Complaint Received: 02/13/2003

Complaint Pending? No

Status: Arbitration/Reparation

Status Date: 04/12/2004

Settlement Amount:

Individual Contribution Amount:



Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.: NASD, DOCKET NUMBER: 04-02342

Date Notice/Process Served: 04/12/2004

Arbitration Pending? No

Disposition: Settled

Disposition Date: 06/16/2005

Monetary Compensation Amount: \$299,000.00

Individual Contribution Amount: \$0.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: CITIGROUP GLOBAL MARKETS INC.
Allegations: CLIENT ALLEGED MISREPRESENTATION OF INVESTMENTS
2000
Product Type: Mutual Fund(s)
Alleged Damages: \$5,106.00

Customer Complaint Information

Date Complaint Received: 05/14/2003

Complaint Pending? No

Status: Denied

Status Date: 07/30/2003

Settlement Amount:

Individual Contribution Amount:

Broker Statement CLAIM DENIED.



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: SALOMON SMITH BARNEY INC.

Allegations: CLIENT ALLEGED "UNPRODUCTIVE CHURN" AND UNAUTHORIZED TRANSACTIONS IN THE ACCOUNT.
ALLEGED DAMAGES - UNSPECIFIED

Product Type: Equity Listed (Common & Preferred Stock)

Alleged Damages:

Customer Complaint Information

Date Complaint Received: 07/17/2002

Complaint Pending? Yes

Settlement Amount:

Individual Contribution Amount:

Broker Statement THOMAS MIERSWA IS HANDLING THIS MATTER.



Employment Separation After Allegations

This type of disclosure event involves a situation where the broker voluntarily resigned, was discharged, or was permitted to resign after being accused of (1) violating investment-related statutes, regulations, rules or industry standards of conduct; (2) fraud or the wrongful taking of property; or (3) failure to supervise in connection with investment-related statutes, regulations, rules, or industry standards of conduct.

Disclosure 1 of 1

Reporting Source:	Broker
Employer Name:	WELLS FARGO
Termination Type:	Voluntary Resignation
Termination Date:	06/28/2010
Allegations:	FAILURE TO VERIFY DEBIT/ATM TRANSACTIONS IN A CLIENT ACCOUNT
Product Type:	Other: ATM/DEBIT CARD
Broker Statement	CLIENT IS A RESIDENT OF MEXICO AND A US CITIZEN. I HAVE HAD A CLIENT INVESTMENT/RELATION FOR 26 YEARS. THEY TRAVEL ABROAD AND WITHIN MEXICO AND USE THERE ATM CARD/DEBIT CARD. PER CLIENT REQUEST I AM ALWAYS ASKED TO MAKE SURE THAT THEIR CARD NOT BE FROZEN AND THAT ALL ATM/DEBIT CHARGES BE PAID WHEN IN MEXICO AND WHEN THEY ARE TRAVELING. THEY REQUESTED THIS OF ME FREQUENTLY. I TRANSFERRED THE ACCOUNT TO WELLS FARGO IN NOV OF 2009. IN LATE DEC 2009 AND 2010 I WAS ASKED TO VERIFY TRANSACTIONS ON THIS ACCOUNT. AT THAT TIME --NOT OF MY KNOWING-- THEIR CARD IDENTITY WAS STOLEN AND FOR TWO MONTHS MONIES WERE TAKEN OUT OF THEIR ACCOUNT. CLIENT CONTACTED ME, WE FROZE THE ACCOUNT AND IMMEDIATELY REPORTED THE INCIDENT TO THE FIRM. CLIENT WAS CREDIT WITH THE MONIES TAKEN FROM THE ACCOUNT. I WAS TERMINATED DUE TO VERIFICATION OF TRANSACTIONS THAT THE FIRM BELIEVES LEAD THE FRAUD DEPARTMENT NOT TO REVIEW THE MANY ATM WITHDRAWAL THAT OCCURRED FOR TWO MONTHS.



Judgment / Lien

This type of disclosure event involves an unsatisfied and outstanding judgments or liens against the broker.

Disclosure 1 of 1

Reporting Source: Broker
Judgment/Lien Holder: INTERNAL REVENUE SERVICE
Judgment/Lien Amount: \$40,631.00
Judgment/Lien Type: Tax
Date Filed with Court: 03/21/2019
Date Individual Learned: 03/21/2019
Type of Court: INTERNAL REVENUE SERVICE
Name of Court: INTERNAL REVENUE SERVICE
Location of Court: WASHINGTON DC
Docket/Case #: 2019028515
Judgment/Lien Outstanding? Yes

End of Report



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