

## BrokerCheck Report

**William C Parr**

CRD# 2453705

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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:
  - o 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
  - o 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](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://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).



William C. Parr

CRD# 2453705

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

IA

EDWARD JONES

5007 S FIRST ST

MILAN, TN 38358

CRD# 250

Registered with this firm since: 03/05/2007

B

EDWARD JONES

5007 S FIRST ST

MILAN, TN 38358

CRD# 250

Registered with this firm since: 05/26/1994

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:

- 4 Self-Regulatory Organizations
- 27 U.S. states and territories

This broker has passed:

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

Registration History

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

No information reported.

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     |

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## 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 4 SROs and is licensed in 27 U.S. states and territories through his or her employer.**

### Employment 1 of 1

Firm Name: **EDWARD JONES**

Main Office Address: **12555 MANCHESTER ROAD  
ST. LOUIS, MO 63131-3710**

Firm CRD#: **250**

|   | SRO                     | Category                          | Status   | Date       |
|---|-------------------------|-----------------------------------|----------|------------|
| B | FINRA                   | General Securities Representative | Approved | 05/26/1994 |
| B | NYSE American LLC       | General Securities Representative | Approved | 09/13/2011 |
| B | Nasdaq Stock Market     | General Securities Representative | Approved | 07/12/2006 |
| B | New York Stock Exchange | General Securities Representative | Approved | 05/26/1994 |

|   | U.S. State/ Territory | Category | Status   | Date       |
|---|-----------------------|----------|----------|------------|
| B | Alabama               | Agent    | Approved | 12/06/2005 |
| B | Arizona               | Agent    | Approved | 03/06/2002 |
| B | Arkansas              | Agent    | Approved | 09/08/1999 |
| B | California            | Agent    | Approved | 01/02/2020 |
| B | Colorado              | Agent    | Approved | 06/17/2020 |
| B | Florida               | Agent    | Approved | 03/25/1999 |
| B | Georgia               | Agent    | Approved | 06/17/2002 |
| B | Illinois              | Agent    | Approved | 06/29/2005 |
| B | Indiana               | Agent    | Approved | 01/02/2020 |

## Broker Qualifications



### Employment 1 of 1, continued

|    | U.S. State/ Territory | Category                          | Status              | Date       |
|----|-----------------------|-----------------------------------|---------------------|------------|
| B  | Kentucky              | Agent                             | Approved            | 04/17/1995 |
| B  | Louisiana             | Agent                             | Approved            | 07/21/2009 |
| B  | Michigan              | Agent                             | Approved            | 12/08/2009 |
| B  | Minnesota             | Agent                             | Approved            | 09/15/2015 |
| B  | Mississippi           | Agent                             | Approved            | 01/31/2007 |
| B  | Missouri              | Agent                             | Approved            | 06/27/2000 |
| B  | New Mexico            | Agent                             | Approved            | 12/19/2018 |
| B  | New York              | Agent                             | Approved            | 04/27/2016 |
| B  | North Carolina        | Agent                             | Approved            | 09/16/2011 |
| B  | Ohio                  | Agent                             | Approved            | 02/27/2004 |
| B  | Oregon                | Agent                             | Approved            | 10/29/2024 |
| B  | Pennsylvania          | Agent                             | Approved            | 01/23/2020 |
| B  | South Carolina        | Agent                             | Approved            | 11/14/2016 |
| B  | Tennessee             | Agent                             | Approved            | 08/08/1994 |
| IA | Tennessee             | Investment Adviser Representative | Approved            | 03/05/2007 |
| B  | Texas                 | Agent                             | Approved            | 01/30/2009 |
| IA | Texas                 | Investment Adviser Representative | Restricted Approval | 06/12/2015 |
| B  | Virginia              | Agent                             | Approved            | 09/21/2017 |
| B  | Wisconsin             | Agent                             | Approved            | 05/30/2012 |
| B  | Wyoming               | Agent                             | Approved            | 01/05/2004 |

## Broker Qualifications



### Employment 1 of 1, continued Branch Office Locations

**EDWARD JONES**  
5007 S FIRST ST  
MILAN, TN 38358

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## 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, 2 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>B</b> Securities Industry Essentials Examination    | SIE      | 10/01/2018 |
| <b>B</b> General Securities Representative Examination | Series 7 | 05/25/1994 |

### State Securities Law Exams

| Exam                                                      | Category  | Date       |
|-----------------------------------------------------------|-----------|------------|
| <b>B</b> <b>IA</b> Uniform Combined State Law Examination | Series 66 | 02/23/2007 |
| <b>B</b> Uniform Securities Agent State Law Examination   | Series 63 | 05/27/1994 |

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/](http://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 |
|--------------------------|-----------|------|-----------------|
| No information reported. |           |      |                 |

### 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                |
|-------------------|-----------------------------|----------------|--------------------|----------------------------------|
| 01/1994 - Present | EDWARD D. JONES & CO., L.P. | NOT PROVIDED   | Y                  | MILAN, TN, United States         |
| 01/1994 - Present | EDWARD D. JONES & CO.       | OTHER - B.O.S. | N                  | MARYLAND HTS., MO, 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.

PARR & PANNELL TREE FARM  
NON-INCOME PRODUCING FARM  
GENERAL PARTNER

"Commercial Rental Property  
Type of business: Check cashing  
Milan, TN  
Start date: 2/2/2015  
owner  
Hours per week: 0  
Hours during trading: 0  
I own the property and hire out required maintenance.

MEGA  
MILAN, TN  
Start date: 3/1/2012



## Registration and Employment History

### Other Business Activities, continued

board member  
Hours per week: 0  
Hours during trading: 0  
helping decided appropriate investments

INDUSTRIAL DEVELOPMENT BOARD - NOT INVESTMENT RELATED  
POSITION: SECRETARY  
ZERO HOURS DEVOTED DURING TRADING HOURS  
DUTIES: BUSINESS RECRUITMENT

"Rental Property

Rental Property  
Milan, TN  
Start date: 11/7/2014  
Owner  
Hours per week: 1  
Hours during trading: 0  
All upkeep and maintenance is hired out.

Rental Property  
Milan, TN  
Start date: 2/2/2015  
Owner  
Hours per week: 1  
Hours during trading: 0  
I hire out required maintenance.

st matthew catholic church  
MILAN, TN  
Start date: 3/1/2011  
parish council  
Hours per week: 0  
Hours during trading: 0  
church finances

Commercial Rental Property  
Type of business: Check cashing



## Registration and Employment History

### Other Business Activities, continued

milan, TN  
Start date: 2/2/2015  
owner  
Hours per week: 1  
Hours during trading: 0  
I own the property and hire out required maintenance.

rental  
Type of business: rental property  
milan, TN  
Start date: 8/11/2004  
owner  
Hours per week: 1  
Hours during trading: 0  
All upkeep and maintenance is hired out.

"Rental Property  
Milan, TN  
Start date: 8/11/2004  
owner  
Hours per week: 1  
Hours during trading: 0

"Rental Property  
Milan, TN  
Start date: 8/11/2004  
Owner  
Hours per week: 1  
Hours during trading: 0

"Rental Property  
Milan, TN  
Start date: 8/11/2004  
Owner  
Hours per week: 1  
Hours during trading: 0

rental  
starkville, MS  
Start date: 7/19/2019  
owner  
Hours per week: 1  
Hours during trading: 0

**Registration and Employment History**



**Other Business Activities, continued**

No responsibilities.

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## 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 | 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 - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the individual broker that was dismissed, withdrawn, or denied; or (2) a 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, which was closed without action, withdrawn, or denied.

#### Disclosure 1 of 1

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** EDWARD JONES

**Allegations:** THE ATTORNEY FOR THE CLIENTS INDICATED THAT THERE WAS A MANULIFE VARIABLE ANNUITY CONTRACT THAT WAS SURRENDERED IN 2002, AND THE CLIENTS WERE NOT ADVISED OF THE TAX IMPLICATIONS OF THIS SURRENDER. AS A RESULT, CLIENTS ALLEGE THEY INCURRED TAXES OF \$44,357 FOR THE TAX YEAR 2002, ON INVESTMENTS THAT COULD HAVE REMAINED TAX-DEFERRED. IN ADDITION, THE ATTORNEY ADVISED THAT THE CLIENTS LOST THE GUARANTEED DEATH BENEFIT ASSOCIATED WITH THE ANNUITY CONTRACT WHEN THE IR SURRENDERED THE MANULIFE CONTRACT AND INVESTED THE PROCEEDS INTO CORPORATE BONDS AND MORTGAGE-BACKED INVESTMENTS. THE ATTORNEY FOR THE CLIENTS ALLEGED THAT THEY DID NOT AUTHORIZE THESE TRANSACTIONS AND AS A RESULT ALSO HAD TO PAY THE ADDITIONAL COMMISSIONS ASSOCIATED WITH THE NEW BOND PURCHASES.

**Product Type:** Annuity(ies) - Variable

**Alleged Damages:** \$44,357.00

### Customer Complaint Information

**Date Complaint Received:** 11/10/2003



**Complaint Pending?** No  
**Status:** Denied  
**Status Date:** 12/17/2003

**Settlement Amount:**

**Individual Contribution Amount:**

**Broker Statement**

IR STATED THAT THE CLIENT WAS CONCERNED ABOUT THE CONTINUING DECLINE OF HIS MANULIFE ANNUITY AND EXPRESSED AN INTEREST IN MOVING THESE FUNDS INTO FIXED INVESTMENTS TO ATTAIN A HIGHER INCOME. IR PREVIOUSLY SPOKE TO CLIENT REGARDING THE DEATH BENEFIT ASSOCIATED WITH THIS ANNUITY AND ENCOURAGED CLIENT TO STAY WITH THE INVESTMENT. HOWEVER, WHEN CLIENT STATED THAT HE WANTED TO MOVE THESE FUNDS INTO FIXED RATE BONDS, IR INDICATED THAT THEY SHOULD SEEK OUT BONDS WITH THE ESTATE FEATURE. WHEN THE CLIENT'S ACCOUNT STATEMENT FROM MANULIFE WAS REVIEWED, IT SHOWED A COST BASIS OF \$241,000 AND THE MARKET VALUE AT THAT TIME WAS \$230,000, SUGGESTING A MARKET LOSS OF \$11,000. IR REVIEWED THE SALE OF THE ANNUITY AND PURCHASE OF THE BONDS WITH CLIENT, CLIENT'S SON-IN-LAW AND CLIENT'S CPA. ACCORDING TO THE IR, THE CPA AGREED THAT IF THE INFORMATION THAT WAS PROVIDED WAS CORRECT, THERE WOULD BE A LOSS ON THIS SALE. SINCE OUR INVESTMENT REPRESENTATIVES DO NOT OFFER TAX ADVICE, THE CLIENT OR HIS CPA COULD HAVE CONTACTED MANULIFE IF THEY WERE CONCERNED ABOUT THE TAXES ASSOCIATED WITH THIS SALE. THE IR ADVISED THAT ALL OF THE FEATURES OF THESE BONDS WERE REVIEWED AND THEY MET THE CLIENT'S INVESTMENT OBJECTIVE OF HIGHER INCOME. THE REQUEST FOR REIMBURSEMENT WAS DENIED.

## End of Report



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