BrokerCheck Report

THOMAS EDWIN CHRISTENSEN

CRD# 2480652

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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.

THOMAS E. CHRISTENSEN

CRD# 2480652

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:

- 1 Principal/Supervisory Exam
- 1 General Industry/Product Exam
- 1 State Securities Law Exam

Registration History

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

B **EMERSON BENNETT & ASSOCIATES**
CRD# 36171
FT. LAUDERDALE, FL
05/1998 - 05/2001

B **VTR CAPITAL, INC.**
CRD# 21404
NEW YORK, NY
01/1998 - 02/1998

B **MONROE PARKER SECURITIES, INC.**
CRD# 31204
PURCHASE, NY
08/1994 - 12/1997

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Customer Dispute	2

Broker Comments

This broker has provided comments regarding information that is displayed in this report.

Has the broker provided comments? **Yes**

Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each 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 1 principal/supervisory exam, 1 general industry/product exam, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination	Series 24	03/24/1997

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination	Series 7	08/20/1994

State Securities Law Exams

	Exam	Category	Date
B	Uniform Securities Agent State Law Examination	Series 63	09/26/1994

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/.

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 securities firms:

	Registration Dates	Firm Name	CRD#	Branch Location
B	05/1998 - 05/2001	EMERSON BENNETT & ASSOCIATES	36171	FT. LAUDERDALE, FL
B	01/1998 - 02/1998	VTR CAPITAL, INC.	21404	NEW YORK, NY
B	08/1994 - 12/1997	MONROE PARKER SECURITIES, INC.	31204	PURCHASE, 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
03/1998 - Present	EMERSON BENNETT & ASSOCIATES	NOT PROVIDED	Y	FT. LAUDERDALE, FL, United States

Disclosure Events

What you should know about reported disclosure events:

1. **Disclosure events in BrokerCheck reports come from different sources:**
   - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory 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.

	Final	On Appeal
Regulatory Event	1	0
Customer Dispute	2	N/A

Disclosure Event Details

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.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	09/10/2002
Docket/Case Number:	C07020071
Employing firm when activity occurred which led to the regulatory action:	EMERSON BENNETT & ASSOCIATES, INC.
Product Type:	Other
Other Product Type(s):	COMMON STOCK
Allegations:	NASD RULES 2110, 8210 - RESPONDENT USED HIGH-PRESSURE SALES TACTICS AND KNOWINGLY MADE NUMEROUS BASELESS PRICE PREDICTIONS TO CUSTOMERS AND POTENTIAL CUSTOMERS IN SOLICITATION OF ORDERS TO PURCHASE COMMON STOCKS; AND FAILED TO RESPOND TO NASD REQUESTS TO APPEAR AND TESTIFY.
Current Status:	Final
Resolution:	Decision
Resolution Date:	02/10/2003
Sanctions Ordered:	Bar
Other Sanctions Ordered:	

Customer Dispute - Award / Judgment

This type of disclosure event involves a final, consumer-initiated, investment-related arbitration or civil suit containing allegations of sales practice violations against the named broker that resulted in an arbitration award or civil judgment for the customer.

Disclosure 1 of 2

Reporting Source:	Regulator
Employing firm when activities occurred which led to the complaint:	MONROE PARKER SECURITIES, INC.
Allegations:	MISREPRESENTATION, SUITABILITY, BRCH OF FIDUCIARY DUTY, OTHER
Product Type:	Other
Alleged Damages:	$105,867.00

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #97-05676
Date Notice/Process Served:	07/13/1998
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	07/15/1999
Disposition Detail:	RESPONDENTS ARE JOINTLY AND SEVERALLY LIABLE TO AND SHALL PAY TO CLAIMANT $90,732.17, PLUS 8% SIMPLE INTEREST TO ACCRUE FROM JANUARY 14, 1998 UNTIL PAID.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MONROE PARKER SECURITIES
Allegations:	THIS ARBITRATION ORIGINATED DURING MY TENURE AT MONROE PARKER SECURITIES. CLIENT CLAIMED UNSUITABLE RECOMMENDATIONS, UNAUTHORIZED TRADING AND DAMAGES IN EXCESS OF $105,000.
Product Type:	Equity - OTC
Alleged Damages:	$105,000.00

Customer Complaint Information

Date Complaint Received:	04/21/1998
Complaint Pending?	No
Status:	Arbitration/Reparation
Status Date:	07/15/1998
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	97-05676
Date Notice/Process Served:	04/21/1998
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	07/15/1998
Monetary Compensation Amount:	$90,743.27
Individual Contribution Amount:	$30,000.00
Broker Statement	I SIGNED A PROMISSORY NOTE AGREEING TO PAY $30,000 @ $1,000 MONTHLY FOR 30 MONTHS. GENERAL RELEASE WILL BE PROVIDED TO ME UPON FULFILLMENT OF COMPLETE $30,000 PAYMENT.
Broker Comment:	I WAS NAMED AS A RESPONDENT IN THIS CUSTOMER DISPUTE. I INHERITED THIS CLIENT TO HELP LIQUIDATE HIS ACCOUNT. WHEN THE CLIENT MADE HIS INITIAL COMPLAINT I HAD INITIATED A MEETING TO COME TO A MUTUAL AGREEMENT BEFORE HE PROCEEDED IN ANY LEGAL ACTIONS, I/E ARBITRATION, IN THAT MEETING I HAD WE HAD AGREED TO A REPARATION OF 30,000.00 IN A PROMISSORY NOTE OF 1000.00 MONTH UNTIL SATISFIED. IT WAS OF THE UNDERSTANDING THAT THIS WOULD SATISFY ANY LEGAL ISSUES THAT HE MIGHT PURSUE AGAINST THE FIRM MONROE PARKER I/E ARBITRATION OR LAWSUIT IN THE FUTURE. I DENY ALL ALLEGATIONS.

Disclosure 2 of 2

Reporting Source:	Regulator

Employing firm when activities occurred which led to the complaint:	MONROE PARKER SECURITIES
Allegations:	OTHER; MISREPRESENTATION; OMISSION OF FACTS; BREACH OF FIDUCIARY DUTY
Product Type:	Other
Other Product Type(s):	COMMON STOCK; WARRANTS/RIGHTS
Alleged Damages:	$639,855.76

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD - CASE #97-01510
Date Notice/Process Served:	05/01/1997
Arbitration Pending?	No
Disposition:	Award
Disposition Date:	07/30/1999
Disposition Detail:	RESPONDENT THOMAS E CHRISTENSEN WAS HELD RESPONSIBLE JOINTLY AND SEVERALLY WITH OTHER RESPONDENTS IN THE AMOUNT OF $639855.76.

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	MONROE PARKER SECURITIES, INC.
Allegations:	MISREPRESENTATION, OMISSION OF FACTS, BREACHED FIDUCIARY DUTY. CLAIMS-$60,000.
Product Type:	Equity - OTC
Alleged Damages:	$60,000.00

Customer Complaint Information

Date Complaint Received:	03/24/1997
Complaint Pending?	No
Status:	Arbitration/Reparation

Status Date:	04/20/1999
Settlement Amount:	
Individual Contribution Amount:	

Arbitration Information

Arbitration/Reparation Claim filed with and Docket/Case No.:	NASD; 97-01510
Date Notice/Process Served:	05/01/1997
Arbitration Pending?	No
Disposition:	Award to Customer
Disposition Date:	04/20/1999
Monetary Compensation Amount:	$69,610.43
Individual Contribution Amount:	$6,328.00
Broker Statement	I AM ONE OF 11 RESPONDENTS, INCLUDING MONROE PARKER, RESPONSIBLE FOR A TOTAL AWARD OF 69,610.43 PLUS COSTS, EXPENSES AND ATTORNEY'S FEES TO CARL BOLES.
Broker Comment:	I WAS NAMED AS A RESPONDENT IN THIS CUSTOMER DISPUTE, THE CLIENT HAD PROFITED MORE THAN HE LOST AND I HAD NOT PARTICIPATED IN ANY ARBITRATION PROCEEDINGS NOR DID I CONTRIBUTE TO ANY SETTLEMENT ON MY BEHALF, I DENY ALL ALLEGATIONS.

End of Report

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