

## BrokerCheck Report

**LAMONT PERCELL PARKER**

CRD# 2946241

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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](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).



## LAMONT P. PARKER

CRD# 2946241

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

**IA LIFEMARK SECURITIES CORP.**  
NEWARK, DE  
CRD# 16204  
Registered with this firm since: 07/05/2011

**B LIFEMARK SECURITIES CORP.**  
NEWARK, DE  
CRD# 16204  
Registered with this firm since: 07/05/2011

## 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:**

- 1 Self-Regulatory Organization
- 4 U.S. states and territories

**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):**

- IA BROOKSTONE INVESTMENT ADVISORY SERVICES**  
CRD# 13366  
LAKELAND, FL  
05/2007 - 06/2011
- B BROOKSTONE SECURITIES, INC.**  
CRD# 13366  
WILMINGTON, DE  
04/2007 - 06/2011
- IA BROOKSTONE INVESTMENT ADVISORY SERVICES**  
CRD# 13366  
LAKELAND, FL  
04/2007 - 04/2007

### 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
Regulatory Event	4
Customer Dispute	1
Termination	1



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

### Employment 1 of 1

Firm Name: **LIFEMARK SECURITIES CORP.**

Main Office Address: **400 WEST METRO PARK  
ROCHESTER, NY 14623**

Firm CRD#: **16204**

	SRO	Category	Status	Date
<b>B</b>	FINRA	General Securities Representative	Approved	07/05/2011

	U.S. State/ Territory	Category	Status	Date
<b>B</b>	Delaware	Agent	Approved	07/05/2011
<b>IA</b>	Delaware	Investment Adviser Representative	Approved	07/05/2011
<b>B</b>	New Jersey	Agent	Approved	07/07/2011
<b>B</b>	Pennsylvania	Agent	Approved	07/06/2011
<b>B</b>	Virginia	Agent	Approved	07/05/2011

### Branch Office Locations

**LIFEMARK SECURITIES CORP.**  
NEWARK, DE

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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, 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>B</b> Securities Industry Essentials Examination	SIE	10/01/2018
<b>B</b> Futures Managed Funds Examination	Series 31	04/06/1998
<b>B</b> General Securities Representative Examination	Series 7	02/13/1998

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	04/13/1998
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	04/01/1998

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
<b>IA</b> 05/2007 - 06/2011	BROOKSTONE INVESTMENT ADVISORY SERVICES	13366	NEWARK, DE
<b>B</b> 04/2007 - 06/2011	BROOKSTONE SECURITIES, INC.	13366	WILMINGTON, DE
<b>IA</b> 04/2007 - 04/2007	BROOKSTONE INVESTMENT ADVISORY SERVICES	13366	NEWARK, DE
<b>IA</b> 09/2005 - 04/2007	FIRST MIDWEST SECURITIES, INC.	21786	KENNETT SQUARE, PA
<b>B</b> 08/2005 - 04/2007	FIRST MIDWEST SECURITIES, INC.	21786	KENNETT SQUARE, PA
<b>IA</b> 11/2003 - 07/2005	RAYMOND JAMES & ASSOCIATES, INC.	705	WILMINGTON, DE
<b>B</b> 03/2003 - 07/2005	RAYMOND JAMES & ASSOCIATES, INC.	705	ST. PETERSBURG, FL
<b>IA</b> 05/1998 - 04/2003	MORGAN STANLEY	7556	WILMINGTON, DE
<b>B</b> 03/1998 - 04/2003	MORGAN STANLEY DW INC.	7556	PURCHASE, NY
<b>B</b> 02/1998 - 07/1998	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	6363	MINNEAPOLIS, MN
<b>B</b> 02/1998 - 07/1998	IDS LIFE INSURANCE COMPANY	6321	MINNEAPOLIS, MN

### 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
06/2011 - Present	LIFEMARK SECURITIES CORP.	REGISTERED REPRESENTATIVE	Y	ROCHESTER, NY, United States
10/1997 - Present	INDEPENDENT INSURANCE AGENT	INDEPENDENT INSURANCE AGENT	Y	NEWARK, DE, United States

## Registration and Employment History



### 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.

ALL BUSINESSES LOCATED AT 721 WILLINGTON SQUARE WAY, NEWARK, DE 19711. DBA OF DELAWARE VALLEY WEALTH MANAGEMENT GROUP USED FOR SECURITIES BUSINESS. DELAWARE VALLEY WEALTH MANAGEMENT GROUP (DVWMG)/ INVESTMENT RELATED / INDEPENDENT INSURANCE AGENT / START 10/1997 / SALES AND SERVICE OF FIXED ANNUITIES AND LIFE INSURANCE.

DVWMG FOUNDATION: PRESIDENT/NON-PROFIT NOT INVESTMENT RELATED. DONATING MONEY & FOOD TO COMMUNITY APPROX. 15HRS A MONTH(WEEKEND WORK). MY WIFE AND I FOUNDED THIS FOUNDATION IN 2006.

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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:**
  - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
  - 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.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
  - 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.
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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 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
Regulatory Event	0	4	0
Customer Dispute	0	1	N/A
Termination	N/A	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.

### Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

#### Disclosure 1 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	07/24/2012
<b>Docket/Case Number:</b>	<a href="#">2010021108001</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	BROOKSTONE SECURITIES, INC.
<b>Product Type:</b>	Annuity-Variable
<b>Allegations:</b>	FINRA RULES 2010, 2330(B), NASD RULE 2821(B) - LAMONT PARKER RECOMMENDED DEFERRED VARIABLE ANNUITY PURCHASES OR EXCHANGES TO CUSTOMERS WITHOUT HAVING A REASONABLE BASIS TO BELIEVE THAT THE CUSTOMER HAD BEEN INFORMED OF THE POTENTIAL SURRENDER PERIODS AND SURRENDER CHARGES ASSOCIATED WITH THE ANNUITIES OR THE POTENTIAL CHARGES FOR AND FEATURES OF RIDERS ASSOCIATED WITH THE ANNUITIES. PARKER COMPLETED AND PROVIDED CUSTOMERS WITH DEFERRED VARIABLE ANNUITY DISCLOSURE FORMS WITH INACCURATE INFORMATION REGARDING THE DETAILS OF THE PRINCIPAL PROTECTION RIDERS AND THE LENGTH OF THE SURRENDER PERIODS.



<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/24/2012
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?</b>	No
<b>(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?</b>	



**(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or**

**(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?**

**Sanction 1 of 1**

<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	10 BUSINESS DAYS
<b>Start Date:</b>	08/20/2012
<b>End Date:</b>	08/31/2012

**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:** Yes

**Date Paid by individual:** 04/12/2013

**Was any portion of penalty waived?** No

**Amount Waived:****Regulator Statement**

WITHOUT ADMITTING OR DENYING THE FINDINGS, PARKER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM AUGUST 20, 2012 THROUGH AUGUST 31, 2012. FINE PAID IN FULL ON APRIL 12, 2013

**Reporting Source:** Broker

**Regulatory Action Initiated By:** FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)

**Sanction(s) Sought:** Other: N/A

**Date Initiated:** 07/24/2012

**Docket/Case Number:** 2010021108001

**Employing firm when activity occurred which led to the regulatory action:** BROOKSTONE SECURITIES, INC.

**Product Type:** Annuity-Variable

**Allegations:** FINRA RULES 2010, 2230(B), NASD RULE 2821(B) - REP RECOMMENDED DEFERRED VARIABLE ANNUITY PURCHASES OR EXCHANGES TO CUSTOMERS WITHOUT HAVING A REASONABLE BASIS TO BELIEVE THAT THE CUSTOMER HAD BEEN INFORMED OF THE POTENTIAL SURRENDER PERIOD AND SURRENDER CHARGES ASSOCIATED WITH THE ANNUITIES



OR THE POTENTIAL CHARGES FOR AND FEATURES OF RIDERS ASSOCIATED WITH THE ANNUITIES. REP COMPLETED AND PROVIDED CUSTOMERS WITH DEFERRED VARIABLE ANNUITY DISCLOSURE FORMS WITH INACCURATE INFORMATION REGARDING THE DETAILS OF THE PRINCIPAL PROTECTION RIDERS AND THE LENGTH OF THE SURRENDER PERIODS.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/24/2012
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	10 BUSINESS DAYS
<b>Start Date:</b>	08/20/2012
<b>End Date:</b>	08/31/2012
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	ENROLLED IN FINRA PAYMENT PLAN
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No

**Amount Waived:****Broker Statement**

DURING MY REGISTRATION WITH BROOKSTONE SECURITIES, PROPRIETARY B/D FORMS CHANGED CONTINUOUSLY. ON THE FORMS THAT WERE GIVEN TO ME BY MY B/D, I INFORMED THE CLIENTS THAT THE PRODUCT WAS EITHER A 7 YR PRODUCT OR A 10 YR PRODUCT. I INFORMED THE CLIENTS OF THE ACTUAL COST (\$8,500 THE FIRST YR OF SURRENDER INSTEAD OF THE 8.5% SURRENDER COST). I BELIEVED IT WAS IMPORTANT TO GIVE THE TRAILING DOLLAR FIGURES OF THE DECLINING CDSC INSTEAD OF THE DECLINING SURRENDER PERCENTAGES. MY B/D ACCEPTED MY PAPERWORK WITHOUT QUESTION. ACCORDING TO FINRA IT WAS INCORRECT SO I WAS CITED ON THIS ISSUE DURING A CYCLE AUDIT. \*I HAVE LEGAL AFFIDAVITS FROM EACH CLIENT THAT ALL FEES & BENEFITS WERE DISCUSSED IN DETAIL. IN THE COMMENT SECTION OF THE PROPRIETARY B/D PAPERWORK, I LISTED FEATURES & BENEFITS THAT THE ANNUITY OFFERED AND EXPLAINED THESE FEATURES TO THE CLIENTS. ACCORDING TO FINRA, IT WAS MISLEADING BECAUSE I SHOULD HAVE ONLY LISTED THE BENEFITS THAT THE CLIENTS ACCEPTED. I WAS DISCLOSING ALL INFORMATION CONCERNING THESE ANNUITIES SO THAT MY B/D COULD MAKE AN INFORMED DECISION TO APPROVE OR NOT APPROVE. I WAS CITED BY FINRA ON THIS ISSUE DURING THE CYCLE AUDIT. \*I HAVE LEGAL AFFIDAVITS FROM EACH CLIENT THAT ALL FEES & BENEFITS WERE DISCUSSED IN DETAIL.

I WAS INFORMED THAT THESE CITINGS SHOULD HAVE PROMPTED A COMPLIANCE MEETING THROUGH FINRA, BUT BECAUSE OF MY PAST DISCLOSURE HISTORY I WAS SANCTIONED & FINED. MY SUPERVISING PRINCIPAL WAS ALSO CITED WITH LACK OF SUPERVISION & RECEIVED THE SAME SANCTION & FINE. I BELIEVE THIS WAS PART OF AN ATTEMPT TO PUNISH MY B/D AT THAT TIME AND I GOT CAUGHT IN THE CROSSFIRE.

**Disclosure 2 of 4**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Date Initiated:** 12/14/2006

**Docket/Case Number:** [2005002097001](#)



<b>Employing firm when activity occurred which led to the regulatory action:</b>	RAYMOND JAMES & ASSOCIATES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	NASD RULE 2110: PARKER AFFIXED THE SIGNATURES OF CUSTOMERS TO PROPRIETARY FORMS OF HIS MEMBER FIRM TO REPLACE LOST ORIGINAL FORMS, AND PLACED THEM IN THE CUSTOMER RECORDS AS AUTHENTIC.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	12/14/2006
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Regulator Statement</b>	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM JANUARY 2, 2007 THROUGH APRIL 1, 2007. FINES PAID ON OCTOBER 28, 2008.

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<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	Other
<b>Other Sanction(s) Sought:</b>	FINE AND SUSPENSION
<b>Date Initiated:</b>	12/14/2006
<b>Docket/Case Number:</b>	<a href="#">2005002097001</a>





<b>Employing firm when activity occurred which led to the regulatory action:</b>	RAYMOND JAMES & ASSOCIATES, INC.
<b>Product Type:</b>	No Product
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	NASD RULE 2110: PARKER AFFIXED THE SIGNATURES OF CUSTOMERS TO PROPRIETARY FORMS OF HIS MEMBER FIRM TO REPLACE LOST ORIGINAL FORMS, AND PLACED THEM IN THE CUSTOMER RECORDS AS AUTHENTIC.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Resolution Date:</b>	12/14/2006
<b>Sanctions Ordered:</b>	Monetary/Fine \$15,000.00 Suspension
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$15,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM JANUARY 2, 2007 THROUGH APRIL 1, 2007.

#### Disclosure 3 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NEW JERSEY
<b>Sanction(s) Sought:</b>	Cease and Desist
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/20/2005
<b>Docket/Case Number:</b>	
<b>Employing firm when activity occurred which led to the regulatory action:</b>	RAYMOND JAMES & ASSOCIATES CRD# 705



**Product Type:** Other

**Other Product Type(s):**

**Allegations:** MR. PARKER FORGED CLIENT SIGNATURES ON CERTAIN DOCUMENTS TO PREVENT THE CANCELLATION OF TAX DEFERRED ANNUITIES.

**Current Status:** Final

**Resolution:** Order

**Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?** Yes

**Resolution Date:** 12/20/2005

**Sanctions Ordered:** Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:** MR. PARKER ADMITTED TO SIGNING "TAX QUALIFIED ANNUITY PURCHASE DISCLOSURE" FORMS WITH HIS CLIENTS PERMISSION.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NEW JERSEY DEPARTMENT OF SECURITIES

**Sanction(s) Sought:** Cease and Desist

**Other Sanction(s) Sought:**

**Date Initiated:** 08/01/2005

**Docket/Case Number:**

**Employing firm when activity occurred which led to the regulatory action:** RAYMOND JAMES

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** INVESTIGATION INTO A U-5 FILED BY RAYMOND JAMES & ASSOCIATES FOR



FORGERY.

<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	12/12/2005
<b>Sanctions Ordered:</b>	Cease and Desist/Injunction
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	LAMONT P. PARKER IS HEREBY ORDERED BY CONSENT AND WITHOUT FURTHER HEARING, CEASE AND DESIST FROM FURTHER VIOLATIONS OF THE NEW JERSEY UNIFORM SECURITIES ACT.
<b>Broker Statement</b>	NOT PROVIDED.

#### Disclosure 4 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	DELAWARE SECURITIES COMMISSIONER
<b>Sanction(s) Sought:</b>	Civil and Administrative Penalt(ies) /Fine(s)
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	08/06/2002
<b>Docket/Case Number:</b>	CASE NO. 01-06-02
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MORGAN STANLEY DEAN WITTER
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	CHURNING/EXERCISING DISCRETION OVER AN ACCOUNT WITHOUT WRITTEN AUTHORIZATION
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	01/22/2003
<b>Sanctions Ordered:</b>	Disgorgement/Restitution Monetary/Fine \$10,000.00



**Other Sanctions Ordered:** RESTITUTION

**Sanction Details:** PARKER FINED IN THE AMOUNT OF \$10000.00.  
MORGAN STANLEY TO PAY RESTITUTION IN THE AMOUNT OF \$15735.41. &  
A FINE OF \$50,000 TO THE STATE OF DELAWARE.

**Regulator Statement** BEGINNING IN JUNE, 1999 THROUGH DECEMBER, 2000, PARKER  
EXERCISED CONTROL OVER SECURITIES TRANSACTIONS IN A CLIENT'S  
ACCOUNT WITH RECKLESS DISREGARD FOR THE BEST INTERESTS OF  
THE CLIENT.

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** SECURITIES COMMISSIONER OF THE STATE OF DELAWARE

**Sanction(s) Sought:** Disgorgement

**Other Sanction(s) Sought:** FINED \$10000.00

**Date Initiated:** 08/06/2002

**Docket/Case Number:** CASE# 01-06-02

**Employing firm when activity occurred which led to the regulatory action:** MORGAN STANLEY DW, INC

**Product Type:** Other

**Other Product Type(s):** EQUITIES

**Allegations:** THE COMMISSIONER ALLEGED THAT REGISRANT ENGAGED IN CHURNING  
OF ONE ACCOUNT AND, WITH RESPECT TO THAT ACCOUNT, EXERCISED  
DISCRETION WITHOUT WRITTEN AUTHORIZATION.

**Current Status:** Final

**Resolution:** Settled

**Resolution Date:** 01/22/2003

**Sanctions Ordered:** Monetary/Fine \$10,000.00

**Other Sanctions Ordered:** N/A

**Sanction Details:** N/A

**Broker Statement** I DENY THAT I DID ANYTHING WRONG IN THE HANDLING OF THIS  
ACCOUNT. THE CLIENT WAS A SPECULATIVE AND EXPERIENCED



INVESTOR. HE AUTHORIZED ALL OF THE TRANSACTIONS IN HIS ACCOUNT. I DID NOT WANT TO SETTLE BUT THE FIRM MADE A DECISION TO SETTLE FOR BUSINESS REASONS. CLIENT WAS COMPENSATED BY MORGAN STANLEY BY ORDERS OF THE STATE OF DELAWARE.



## 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 1

<b>Reporting Source:</b>	Broker
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY
<b>Allegations:</b>	CLIENT ALLEGED THE FA HAD CHURNED AND ACTED WITHOUT WRITTEN DISCRETION.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$15,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/01/1999
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	01/20/2003
<b>Settlement Amount:</b>	\$15,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## 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:** Firm  
**Employer Name:** RAYMOND JAMES & ASSOCIATES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 06/28/2005  
**Allegations:** FORGERY OF CLIENT SIGNATURES ON DOCUMENTS  
**Product Type:** No Product  
**Other Product Types:**

**Reporting Source:** Broker  
**Employer Name:** RAYMOND JAMES & ASSOCIATES  
**Termination Type:** Discharged  
**Termination Date:** 06/28/2005  
**Allegations:** FORGERY OF CLIENT SIGNATURES ON DOCUMENTS  
**Product Type:** No Product  
**Other Product Types:**

## End of Report



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