

BrokerCheck Report

RANDALL HENSON PARKER

CRD# 356727

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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.

RANDALL H. PARKER

CRD# 356727

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
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

B WMA SECURITIES, INC.

CRD# 32625
DULUTH, GA
12/1994 - 12/1998

B ANCHOR NATIONAL FINANCIAL SERVICES, INC.

CRD# 5774
01/1990 - 11/1991

B FREEMAN FINANCIAL SERVICES CORPORATION

CRD# 6722
05/1988 - 01/1990

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	2

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 0 principal/supervisory exams, 2 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

Exam	Category	Date
No information reported.		

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6	12/13/1994
B Registered Representative Examination	Series 1	11/02/1972

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	01/17/1995

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 12/1994 - 12/1998	WMA SECURITIES, INC.	32625	DULUTH, GA
B 01/1990 - 11/1991	ANCHOR NATIONAL FINANCIAL SERVICES, INC.	5774	
B 05/1988 - 01/1990	FREEMAN FINANCIAL SERVICES CORPORATION	6722	
B 05/1986 - 01/1990	FREEMAN FINANCIAL SERVICES CORPORATION	6722	SAN MATEO, CA

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
09/1990 - Present	SELF/INS & SEC SALES	OTHER - INS SALES/SEC	N	FRESNO, CA, 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	2	0



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 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	CALIFORNIA DEPARTMENT OF CORPORATIONS
Sanction(s) Sought:	Bar
Other Sanction(s) Sought:	
Date Initiated:	08/22/2000
Docket/Case Number:	OAH NO. N2000030420
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	Other
Other Product Type(s):	UNREGISTERED SECURITIES/PROMISSORY NOTES
Allegations:	ON AUGUST 18, 1999, PARKER UNDER OATH BEFORE THE COMMISSIONER, TESTIFIED THAT HE LET HIS SECURITIES LICENSE RUN OUT IN 1981 AND DID NOT AFFILIATE WITH ANOTHER BROKER-DEALER AFTER THAT DATE. IN FACT, PARKER WAS AFFILIATED WITH A BROKER-DEALER FROM 1994-1998 DURING WHICH TIME HE SOLD UNREGISTERED SECURITIES IN THE FORM OF PROMISSORY NOTES FOR FISH LENDER'S INDEMNITY COMPANY CORPORATION (FLIC). PARKER DID NOT HAVE APPROVAL FROM HIS BROKER-DEALER TO SELL THESE FLIC NOTES. ON OCTOBER 28, 1999 THE DEPARTMENT OF CORPORATIONS ISSUED 2 DESIST AND REFRAIN ORDERS AGAINST PARKER FOR SECURITIES VIOLATIONS IN THE SALE OF THESE NOTES.
Current Status:	Final
Resolution:	Order
Resolution Date:	08/22/2000



Sanctions Ordered: Bar

Other Sanctions Ordered:

Sanction Details: ORDER BARRING SUBJECT ISSUED.

Regulator Statement
ON JULY 31, 2000 AN ADMINISTRATIVE LAY JUDGE FOR THE OFFICE OF ADMINISTRATIVE HEARINGS, SACRAMENTO, CA, ISSUED A PROPOSED DECISION BARRING PARKER BASED ON THE DOC'S PLEADINGS AND EVIDENCE AFTER A HEARING REQUESTED BY PARKER. THE COMMISSIONER OF THE DOC ADOPTED THE PROPOSED DECISION ON AUGUST 15, 2000. ON AUGUST 22, 2000 AN ORDER BARRIN PARKER FROM ANY POSITION OF EMPLOYMENT, MANAGEMENT OR CONTROL OF ANY BORKER-DEALER OR INVESTMENT ADVISER WAS ISSUED.

CONTACT PERSON: DAN O'DONNELL 916-445-3682

Disclosure 2 of 2

Reporting Source: Regulator

Regulatory Action Initiated By: CALIFORNIA DEPARTMENT OF CORPORATIONS

Sanction(s) Sought: Cease and Desist

Other Sanction(s) Sought:

Date Initiated: 10/28/1999

Docket/Case Number:

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

Product Type: Other

Other Product Type(s): PROMISSORY NOTES

Allegations: ORDERS WERE ISSUED ON THE BASES THAT THE OFFER AND/OR SALE BY THIS INDIVIDUAL OF PROMISSORY NOTES IDDUED BY FIRST LENDERS INDEMNITY CORPORATION OF FLORIDA, BOSTON ACCEPTANCE COMPANY, DBA FIRST LENDERS INDEMNITY COMPANY OF CALIFORNIA, JONATHON PIERPONT BOSTON, FKA JOHJN R. MARSELLA, SHIRLEY FAINO, FKA SHIRLEY MARSELLA, AND/OR JIM CUNNINGHAM. THE DEPARTMENT OF CORPORATIONS HAS DETERMINED THAT SUCH PROMISSORY NOTES ARE SECURITIES FOR WHICH NO EXEMPTION FROM QUALIFICATION APPLIES, AND THAT THE ISSUANCE OF SUCH ORDER/ORDERS IS IN THE PUBLIC



INTEREST.

Current Status: Final

Resolution: Order

Resolution Date: 10/28/1999

Sanctions Ordered: Cease and Desist/Injunction

Other Sanctions Ordered:

Sanction Details: DESIST AND REFRAIN ORDER ISSUED.

Regulator Statement DESIST AND REFRAIN ORDERS WERE ISSUED AGAINST THIS INDIVIDUAL FOR VIOLATIONS OF CALIFORNIA CORPORATIONS CODE SECTIONS 25110, SALE OF AN UNQUALIFIED SECURITY, AND 25401, SALE OF SECURITY BY MEANS OF A COMMUNICATION WHICH INCLUDES MATERIAL MISREPRESENTATIONS OR OMISSIONS.

CONTACT PERSON: DANIEL O'DONNELL 916-445-3682

End of Report



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