

## BrokerCheck Report

**J CHRISTOPHER PARKER**

CRD# 4480847

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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).



**J C. PARKER**  
CRD# 4480847

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

- IA OSAIC WEALTH, INC.**  
BEREA, OH  
CRD# 23131  
Registered with this firm since: 06/14/2024
- B OSAIC WEALTH, INC.**  
BEREA, OH  
CRD# 23131  
Registered with this firm since: 06/14/2024

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:

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

Registration History

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

- IA SECURITIES AMERICA ADVISORS, INC.**  
CRD# 110518  
LA VISTA, NE  
11/2013 - 06/2024
- B SECURITIES AMERICA, INC.**  
CRD# 10205  
BEREA, OH  
11/2013 - 06/2024
- IA LPL FINANCIAL LLC**  
CRD# 6413  
FORT MILL, SC  
02/2006 - 11/2013

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



## 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: **OSAIC WEALTH, INC.**  
 Main Office Address: **18700 N. HAYDEN ROAD  
 SUITE 255  
 SCOTTSDALE, AZ 85255**  
 Firm CRD#: **23131**

	SRO	Category	Status	Date
B	FINRA	General Securities Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024

	U.S. State/ Territory	Category	Status	Date
B	Iowa	Agent	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
IA	Ohio	Investment Adviser Representative	Approved	06/14/2024
B	Tennessee	Agent	Approved	06/14/2024

### Branch Office Locations

**OSAIC WEALTH, INC.**  
 BERE A, OH



## 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, 2 general industry/product exams, and 2 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	04/12/2006

### 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	01/28/2002

### State Securities Law Exams

Exam	Category	Date
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	03/01/2011
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	01/31/2002

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> 11/2013 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	110518	BEREA, OH
<b>B</b> 11/2013 - 06/2024	SECURITIES AMERICA, INC.	10205	BEREA, OH
<b>IA</b> 02/2006 - 11/2013	LPL FINANCIAL LLC	6413	BEREA, OH
<b>B</b> 12/2005 - 11/2013	LPL FINANCIAL LLC	6413	BEREA, OH
<b>B</b> 01/2002 - 12/2005	EDWARD JONES	250	OLMSTED FALLS, OH

### 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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	BEREA, OH, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	BEREA, OH, United States
11/2013 - Present	PARKER WEALTH MANAGEMENT	WEALTH ADVISOR	Y	BEREA, OH, United States
11/2013 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	BEREA, OH, United States
11/2013 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	BEREA, OH, 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.

#### 1. OHIO DIVISION 14 KIWANIS

-Treasurer -Treasurer for Division 14 Ohio Kiwanis (West-side of Cleveland) #HRS 3 -6/14/18 -439 Yearling Dr Berea OH 44017 -Will keep books,



## Registration and Employment History

### Other Business Activities, continued

co-sign checks, & attend Division 14 Council meetings 8 times/year. Told Division 14 writes about 12 checks per year. Current Treasurer has Stage 4 cancer & I'm taking over for him.

#### 2. NORTHERN OHIO GOLF ASSOCIATION

POSITION: Volunteer NATURE: Local golf association. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 08/26/2020 ADDRESS: One Golfview Lane, North Olmsted OH 44070 DESCRIPTION: The Northern Ohio Golf Association (NOGA) is a non-profit serving golf courses and clubs across Northeastern Ohio. I serve as a Starter for their golf tournaments. My time requirement is, in effect, taking a portion of a day to a full a day off to serve in Northeast Ohio. There is No investment related component with this OBA. While I do receive mileage reimbursement, it's mostly a non-compensated volunteer activity. I've been serving with this organization for many years.

#### 3. USGA/PGA TOUR

POSITION: Walking Scorer NATURE: Walking Scorer at USGA golf events and PGA Tour events. INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10 START DATE: 06/13/2024 ADDRESS: 77 Liberty Corner Rd, Liberty Corner NJ 07938 DESCRIPTION: I serve as a Walking Scorer (volunteer) for golf tournaments. Most of my work going forward will be at the US Open, the US Women's Open, the Senior US Open, and the US Senior Women's Open. The tournaments move around geographically every year. I also serve as a Walking Scorer with the PGA Tour when it visits Firestone CC in Akron, OH each summer. I've been serving in this role for a number of years locally with the PGA Tour and I'm starting to travel to do it serve with the USGA.

#### 4. OLMSTED FALLS KIWANIS

POSITION: Financial Secretary NATURE: I serve in a number of capacities within the Olmsted Falls Kiwanis Club. I am an officer in the Club and serve as the Financial Secretary. I prepare the monthly spreadsheet of the Club's finances, and I'm one of the signatories for double-signed checks. I also serve on a number of Committees: the Finance Committee, the Scouting Committee. And I participate in various Community service projects and events on behalf of the Club (along with many others). INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2018 ADDRESS: no specific address, Olmsted Falls OH 44138 DESCRIPTION: As the Financial Secretary I will be one of four co-signers for outgoing checks. A double signature is required for all outgoing checks. The Financial Secretary is one of six officers of the Olmsted Falls Kiwanis club. The Financial Secretary's position predominately works with spreadsheets regarding the Club's finances. The FS meets with the Treasurer monthly to review the Club's books. And the FS fills in for the Treasurer occasionally, if they are out of town.

I have served as the "snow bird" part-time T and FS for several years prior to just being the FS this past fall.

#### 5. BLUEGRASS HOMEOWNER'S ASSOCIATION

POSITION: Treasurer NATURE: Bluegrass is the Development I've lived in for 37 years now. We have a five member Board that runs the Association on a volunteer basis. In the past I've served as the Treasurer for two years, and the Chairman of the Board for five or six years. My wife has served on the Board as the Pool Chair in years past. I felt it was time to volunteer again as the Treasurer position was available. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/23/2024 ADDRESS: 439 Yearling Drive, BEREA OH 44017, United States DESCRIPTION: As Treasurer it will be my job to monitor the finances of the Association, to collect the annual assessment from each homeowner, to use QuickBooks and Excel to run/monitor those finances. I will have check writing responsibilities: two-signers required.



## 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
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 - 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

**Reporting Source:** Broker

**Employing firm when activities occurred which led to the complaint:** LPL FINANCIAL

**Allegations:** CUSTOMER ALLEGES THAT REPRESENTATIVE FAILED TO FOLLOW INSTRUCTIONS AS TO VARIABLE ANNUITY SUBACCOUNT ALLOCATION ON FEBRUARY 2, 2010, FROM BOND AND MONEY MARKET SUBACCOUNT ALLOCATIONS TO WILSHIRE MODERATE AGGRESSIVE PROFILE ALLOCATION. CUSTOMER CLAIMS THAT INVESTMENTS SHOULD HAVE BEEN MADE AND REMAINED INTACT FROM FEBRUARY 2, 2010 THROUGH OCTOBER 15, 2010. REPRESENTATIVE DENIES CUSTOMER'S ALLEGATIONS, AND STATES THAT HE HAD PLACED TRADES AS INSTRUCTED ON FEBRUARY 2, 2010, BUT BECAUSE OF AUTOMATIC QUARTERLY REBALANCING FEATURE, LINCOLN LIFE RETURNED THE INVESTMENTS TO THE ORIGINAL SUBACCOUNT ALLOCATIONS TWO DAYS LATER. UPON NOTING THE ALLOCATION REVERSAL ON FEBRUARY 16, 2010, REPRESENTATIVE CONFIRMED WITH THE CUSTOMER REMAINING IN THE BOND AND MONEY MARKET SUBACCOUNT ALLOCATIONS, AND DENIES THAT THERE WAS ANY INSTRUCTION OR DIRECTION FROM THE CUSTOMER TO PLACE (OR MAINTAIN) THE CONTRACT ASSETS IN THE WILSHIRE MODERATE AGGRESSIVE PROFILE ALLOCATION FOR THE ENTIRE FEBRUARY 16, 2010 THROUGH OCTOBER 15, 2010 TIMEFRAME.

**Product Type:** Annuity-Variable

**Alleged Damages:** \$174,423.00

**Alleged Damages Amount** THIS AMOUNT IS DEPENDENT UPON CURRENTLY CHANGING MARKET



**Explanation (if amount not exact):** VALUE, AND AT THIS TIME, IS AT A LOWER ACTUAL DIFFERENTIAL AMOUNT.

**Is this an oral complaint?** No

**Is this a written complaint?** Yes

**Is this an arbitration/CFTC reparation or civil litigation?** No

### Customer Complaint Information

**Date Complaint Received:** 10/18/2010

**Complaint Pending?** No

**Status:** Settled

**Status Date:** 12/14/2010

**Settlement Amount:** \$22,133.98

**Individual Contribution Amount:** \$22,133.98

**Broker Statement** THIS MATTER WAS RESOLVED AS A CUSTOMER ACCOMODATION ONLY AND WITH NO ADMISSION OF LIABILITY.

## End of Report



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