

## BrokerCheck Report

# JOSEPH ANTHONY ATENCIO

CRD# 8365

<b><u>Section Title</u></b>	<b><u>Page(s)</u></b>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



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.

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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)

**JOSEPH A. ATENCIO**

CRD# 8365

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:**

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

**Registration History**

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

- B WHITEHALL-PARKER SECURITIES, INC.**  
CRD# 10608  
SAN FRANCISCO, CA  
04/1999 - 01/2008
- B WELLINGTON SECURITIES, INC.**  
CRD# 16659  
SAN FRANCISCO, CA  
11/1993 - 05/1997
- B LANACO SECURITIES CORPORATION**  
CRD# 10223  
BURLINGAME, CA  
01/1982 - 10/1991

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

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> Financial Principal Examination	F04	08/21/1975
<b>B</b> Registered Principal Examination	Series 40	11/07/1968

### General Industry/Product Exams

Exam	Category	Date
No information reported.		

### State Securities Law Exams

Exam	Category	Date
No information reported.		

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 securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 04/1999 - 01/2008	WHITEHALL-PARKER SECURITIES, INC.	10608	SAN FRANCISCO, CA
<b>B</b> 11/1993 - 05/1997	WELLINGTON SECURITIES, INC.	16659	SAN FRANCISCO, CA
<b>B</b> 01/1982 - 10/1991	LANACO SECURITIES CORPORATION	10223	BURLINGAME, CA
<b>B</b> 03/1989 - 08/1989	HUTCHINSON SECURITIES	10160	SAN FRANCISCO, CA
<b>B</b> 03/1989 - 08/1989	LAM SECURITIES INVESTMENT	17037	SAN FRANCISCO, CA
<b>B</b> 04/1978 - 02/1980	DRB FINANCIAL, INC.	7591	
<b>B</b> 11/1977 - 04/1978	WESTAMERICA FINANCIAL CORPORATION	883	
<b>B</b> 04/1973 - 10/1977	CALLAN ASSOCIATES, INC.	6449	
<b>B</b> 03/1973 - 06/1973	MITCHUM, JONES & TEMPLETON INCORPORATED	584	
<b>B</b> 10/1970 - 02/1973	WILLIAM HUTCHINSON & CO., INC.	2262	

### 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
04/1999 - Present	WHITEHALL-PARKER SECURITIES, INC.	NOT PROVIDED	Y	SAN FRANCISCO, CA, United States
11/1998 - Present	ALLSTATE INSURANCE COMPANY	OTHER - INSURANCE SALESMAN	N	SOUTH SAN FRANCISCO, 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

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	06/30/1989
<b>Docket/Case Number:</b>	SF-1310
<b>Employing firm when activity occurred which led to the regulatory action:</b>	LANACO SECURITIES CORP.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	03/08/1990
<b>Sanctions Ordered:</b>	Censure Monetary/Fine \$5,000.00 Suspension
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	
<b>Regulator Statement</b>	COMPLAINT NUMBER SF-1310 (DISTRICT NO. 2N) FILED JUNE 30, 1989 AGAINST RESPONDENTS LANACO SECURITIES CORPORATION AND JOSEPH A.



ATENCIO ALLEGING VIOLATIONS OF ARTICLE III, SECTION 1 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT ATENCIO, FAILED TO TIMELY FILE WITH THE ASSOCIATION FOCUS PART I AND PART IIA FORMS IN CONTRAVENTION OF SEC RULE 17a-5; IN CONTRAVENTION OF SEC RULE 17a-11 FAILED TO TIMELY FILE FOCUS PART IIA FORMS WHEN NET CAPITAL HAD FALLEN BELOW ITS MINIMUM REQUIREMENT OF \$5,000.00; FAILED TO TIMELY PAY ITS ANNUAL ASSESSMENT TO THE ASSOCIATION; AND, UTILIZED THE INSTRUMENTALITIES OF INTERSTATE COMMERCE TO ENGAGE IN THE SECURITIES BUSINESS WHILE FAILING TO MAINTAIN REQUIRED MINIMUM NET CAPITAL. DECISION RENDERED MARCH 8, 1990, WHEREIN THE OFFER OF SETTLEMENT SUBMITTED BY RESPONDENTS WAS ACCEPTED; THEREFORE, RESPONDENTS MEMBER AND ATENCIO ARE CENSURED AND FINED \$5,000, JOINTLY AND SEVERALLY; AND, RESPONDENT ATENCIO IS SUSPENDED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY CAPACITY FOR TWO WEEKS. 5/7/90 PRESS RELEASE: THE SUSPENSION WILL COMMENCE MAY 7, 1990 AND WILL CONCLUDE MAY 18, 1990.

\*\*\*\$5,000.00 J&S PAID ON 6/7/90 INVOICE #90-2N-374\*\*\*

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**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 06/30/1989

**Docket/Case Number:** SF-1310

**Employing firm when activity occurred which led to the regulatory action:** LANACO SECURITIES CORP.

**Product Type:**

**Other Product Type(s):**

**Allegations:** CAUSE ONE: FAILD TO FILE TIMELY FOCUS PARTS I & IIA CAUSE TWO: FAILED RO FILE FOCUS PART IIA MONTHLY AS REQUIRED BY RULE 17A-11 CAUSE THREE: FAILED TO APY ON TIME THE ANNUAL ASSESSMENT TO THE NASD FOR 1988 CAUSE FOUR: LANACO SECURITIES CORP FAILED TO MAINTAIN MINIMUM NET CAPTAIL OF



\$5,000 FOR 5 DAYS (1/8, 1/25, 2/2, 4/10, 4/18) ALL CAUSES ARE A VIOLATIONS OF ARTICLE III

**Current Status:** Final

**Resolution:** Decision & Order of Offer of Settlement

**Resolution Date:** 03/08/1990

**Sanctions Ordered:** Censure  
Monetary/Fine \$5,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** LANACO SECURITIES CORPORATION AND JOSEPH A ATENCIO WERE FINED \$5,000 JOINTLY AND SEVERALLY AND JOSEPH A ATENCIO WAS SUSPENDED FROM THE ASSOCIATION FOR TWO WEEKS

**Broker Statement** LANACO SECURITIES AND JOSEPH A TANCIO SUBMITTED AN OFFER OF SETTLEMENT WHICH THE NASD COMMITTEE ACCEPTED UNDER THE TERMS OF THE OFFER WE (LSC & JAA) C CONSENTED FOR PURPOSES OF THE PROCEEDING ONLY WITHOUT ADMITTING OR DENYING THE ALLEGIONS OF THE COMPLAINT, TO FINDINGS OF FACTS AND VIOLATIONS BY THE COMMITTEE CONSISTENT WITH THE ALLEGATIONS OF THE COMPLAINT. THE COMMITTEE BY ACCEPTING THE OFFIER ALSO CONSIDERED THAT THE ASSOCIATIONS FILED DISCLOSE NO PREVIOUS DISCIPLINARY ACTIONS AGAINT EITHER LANACO SECURITIES OR JOSEPH ATENCIO. THE FINE WAS PAID IN 1990. THE TWO TEEK SUSPENSION CONCLUDED IN 1990

**Disclosure 2 of 2**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/27/1991

**Docket/Case Number:** C01910011



**Employing firm when activity occurred which led to the regulatory action:** LANACO SECURITIES CORP.

**Product Type:**

**Other Product Type(s):**

**Allegations:**

**Current Status:** Final

**Resolution:** Decision

**Resolution Date:** 11/15/1991

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

**Other Sanctions Ordered:**

**Sanction Details:**

**Regulator Statement**

CASE ID NO. C01910011 (DISTRICT NO. 1) FILED MARCH 27, 1991 AGAINST RESPONDENTS LANACO SECURITIES CORP., JOSEPH ANTHONY ATENCIO AND VIVANA ELIZABETH CLONINGER ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 4, 27 AND 32 OF THE RULES OF FAIR PRACTICE IN THAT RESPONDENT MEMBER, ACTING THROUGH RESPONDENT ATENCIO, FILED FALSE AND INACCURATE FOCUS PARTS I AND IIA REPORTS; ENGAGED IN A SECURITIES BUSINESS WHILE FAILING TO MAINTAIN MINIMUM REQUIRED NET CAPITAL; FAILED TO GIVE TELEGRAPHIC NOTICE TO THE NASD REGARDING ITS FAILURE TO FILE FOCUS PART IIA REPORTS; FAILED TO ESTABLISH WRITTEN SUPERVISORY PROCEDURES TO PREVENT THE SOLICITATION OF RESTRICTED STOCK TO PUBLIC CUSTOMERS; EFFECTED SECURITIES TRANSACTIONS AND CHARGED COMMISSIONS WHICH WERE UNFAIR AND UNREASONABLE; AND, FAILED TO CARRY A BLANKET FIDELITY BOND; RESPONDENT MEMBER, ACTING THROUGH RESPONDENTS ATENCIO AND CLONINGER, SOLICITED PUBLIC CUSTOMERS FOR THE PURCHASE OF RESTRICTED STOCK IN CONTRAVENTION TO SEC RULE 144.

DECISION RENDERED OCTOBER 1, 1991, WHEREIN RESPONDENT MEMBER AND ATENCIO ARE CENSURED AND FINED \$10,000, JOINTLY AND



SEVERALLY AND ASSESSED COSTS OF \$603.80, JOINTLY AND SEVERALLY. IN ADDITION, RESPONDENT ATENCIO IS BARRED FROM ASSOCIATION WITH ANY MEMBER OF THE NASD IN ANY PRINCIPAL CAPACITY AND CLONINGER IS CENSURED AND FINED \$1,500. THE SIXTH CAUSE OF COMPLAINT REGARDING UNFAIR COMMISSIONS WAS DISMISSED IN THAT THE COMMITTEE DETERMINED THAT THE SMALL NUMBER OF TRADES INVOLVED DID NOT RISE TO THE LEVEL OF A MATTER WARRANTING DISCIPLINE. IF NO FURTHER ACTION, DECISION IS FINAL NOVEMBER 15, 1991.

JANUARY 23, 1992 - REQUEST FOR LATE APPEAL BY RESPONDENTS MEMBER AND ATENCIO APPROVED.

NBCC DECISION RENDERED MAY 13, 1992, WHEREIN THE FINDINGS MADE AND SANCTIONS IMPOSED ARE AFFIRMED. IF NO FURTHER ACTION, DECISION IS FINAL JUNE 12, 1992.

JUNE 12, 1992 - DECISION IS FINAL.

\*\*\*\$10,603.80 J&S FULLY PAID ON 6/1/94, INVOICE #92-01-486.

**Reporting Source:** Broker

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 03/27/1991

**Docket/Case Number:** C01910011

**Employing firm when activity occurred which led to the regulatory action:** LANACO SECURITIES CORP.

**Product Type:**

**Other Product Type(s):**

**Allegations:** CAUSE ONE: FILED INACCURATE FOCUS PART I & IIA (ARTICLE II SEC I) CAUSE TWO: FAILED TO MAINTAIN MINIMUM NET CAPITAL (ARTICLE III SEC I) CAUSE THREE: FAILED TO GIVE



TELEGRAPHIC NOTICE TO THE NASD & FILE ACCURATE FOCUS PART IIA  
 (ARTICLE III SEC I & SEC RULE 15C3-1) CAUSE FOUR: SOLICITED  
 PURCHASE OF RESTRICTED STOCK (ARTICLE III SEC I) CAUSE FIVE:  
 FAILED TO ESTABLISH WRITTEN SUPERVISORY PROCEDURES CAUSE SIX:  
 CHARGED UNFAIR COMMISSIONS CAUSE SEVEN: FAILED TO HAVE  
 BLANKET  
 FIDELITY BOND (ARTICLE II SEC 7)

**Current Status:**

Final

**Resolution:**

Decision

**Resolution Date:**

11/15/1991

**Sanctions Ordered:**

Bar  
 Censure  
 Monetary/Fine \$10,000.00

**Other Sanctions Ordered:****Sanction Details:**

LANACO SECURITIES AND JOSEPH A ATENCIO WERE  
 FINED \$10,000 JOINTLY & SEVERALLY AND ASSESSED COSTS OF \$603.80  
 JOINTLY & SEVERLLY. JOSEPH ATENCIO WAS BARRED IN PRINCIPAL  
 CAPACITY WITH ANY MEMBER OF THE ASSOCIATION.

**Broker Statement**

CAUSE ONE, TWO & THREE: CUSTOMERS FAILURE TO PAY  
 FOR STOCK PURCHASED CAUSED LANACO SECURITIES AND JOSEPH  
 ATENCIO  
 TO VIOLATE ARTICLE III SEC I THE NBCC & DBCC DID NOT RECOGNIZE  
 A VERBAL CONTRACT BETWEEN WILLIAM NL HUTCHINSON AND JOSEPH  
 ATENCIO ENTERED INOT IMEEDIATLY UPON LEARNING OF THE PAYMENT  
 PROBLEM (ALTHOUGH VERBAL CONTRACTS ARE RECOGNIZED EACH &  
 EVERY  
 DAY WHEN BUYING & SELLING STOCK) CAUSE FOUR: AFTER RECEPT OF  
 RESEARCH REPORT, CLIENT REQUESTED A RAGE BLOCK OF STOCK  
 WHICH  
 COULD NOT BE PURCHASES THROUGH THE REGULAR MEANS (ONLY  
 AVAILABLE FROM PRINCIPAL) CAUSE FIVE: WRITTE PROCEDURES WERE  
 REVIEWED BY NASD AT PREVIOUS EXAMS WITH NONEGATIVE COMMENTS  
 CAUSE SIX: DISMISSED BY DBCC CAUSE SEVEN: APPLICAITON & PAYMNT  
 MAILED BUT RENEWAL BOND WAS NOT MAILED BY INSURANCE CARRIER.

## End of Report



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