



IAPD Report

EDISON F PARKER JR.

CRD# 1021124

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Information	6

i 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.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD 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 representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

EDISON F PARKER JR. (CRD# 1021124)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **03/20/2023**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	ACROPOLIS PARTNERS, LLC	CRD# 312129	04/06/2021

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **3** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

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

	FIRM	CRD#	LOCATION	REGISTRATION DATES
IA	HAYDEN ROYAL	170037	Brentwood, TN	08/16/2019 - 04/07/2021
B	ZERMATT SECURITIES, INC.	47502	Brentwood, TN	11/13/2019 - 11/10/2020
IA	CARY STREET PARTNERS	128545	Brentwood, TN	03/11/2016 - 08/22/2019

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

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

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Termination	1






Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **3** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **ACROPOLIS PARTNERS, LLC**
Main Address: 101 CREEKSIDE CROSSING
SUITE 1700-120
BRENTWOOD, TN 37027
Firm ID#: 312129

	Regulator	Registration	Status	Date
	Arkansas	Investment Adviser Representative	Approved	01/19/2023
	Georgia	Investment Adviser Representative	Approved	08/04/2022
	Tennessee	Investment Adviser Representative	Approved	04/06/2021

Branch Office Locations

ACROPOLIS PARTNERS, LLC
101 CREEKSIDE CROSSING
SUITE 1700-120
BRENTWOOD, TN 37027



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 2 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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
---	-----	------------

B General Securities Representative Examination (S7)	Series 7	11/21/1981
---	----------	------------

State Securities Law Exams

Exam	Category	Date
------	----------	------

IA Uniform Investment Adviser Law Examination (S65)	Series 65	07/16/1992
--	-----------	------------

B Uniform Securities Agent State Law Examination (S63)	Series 63	02/16/1982
---	-----------	------------

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
IA	08/16/2019 - 04/07/2021	HAYDEN ROYAL	CRD# 170037	Brentwood, TN
B	11/13/2019 - 11/10/2020	ZERMATT SECURITIES, INC.	CRD# 47502	Brentwood, TN
IA	03/11/2016 - 08/22/2019	CARY STREET PARTNERS	CRD# 128545	Brentwood, TN
B	02/12/2016 - 08/22/2019	CARY STREET PARTNERS	CRD# 128089	Brentwood, TN
B	09/21/2005 - 02/23/2016	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	NASHVILLE, TN
IA	09/20/2005 - 02/23/2016	STIFEL, NICOLAUS & COMPANY, INCORPORATED	CRD# 793	NASHVILLE, TN
B	11/06/1998 - 09/23/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	WEEHAWKEN, NJ
IA	11/06/1998 - 09/23/2005	UBS FINANCIAL SERVICES INC.	CRD# 8174	BRENTWOOD, TN
B	12/01/1986 - 11/17/1998	PRUDENTIAL SECURITIES INCORPORATED	CRD# 7471	NEW YORK, NY
B	10/22/1984 - 12/12/1986	DEAN WITTER REYNOLDS INC.	CRD# 7556	
B	09/16/1982 - 10/29/1984	PRUDENTIAL-BACHE SECURITIES INC.	CRD# 7471	
B	12/11/1981 - 09/30/1982	THOMSON MCKINNON SECURITIES INC.	CRD# 829	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
03/2021 - Present	ACROPOLIS PARTNERS, LLC	MANAGING MEMBER/IAR	Y	BRENTWOOD, TN, United States
02/2017 - 02/2023	Parthenon Partners LLC	Finder	N	Brentwood, TN, United States
08/2019 - 03/2021	Hayden Royal, LLC	Investment Advisor	Y	Charlotte, NC, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
11/2019 - 03/2020	Zermatt Securities, Inc.	Registered Representative	Y	Charlotte, NC, United States
02/2016 - 08/2019	Cary Street Partners Investment Advisory LLC	Vice President	Y	Richmond, VA, United States
02/2016 - 08/2019	Cary Street Partners LLC	Vice President	Y	Richmond, VA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative 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. Insurance Agent; investment related; same office; Nature of business is insurance; devotes 10 hour/month outside of securities hours; duties: Insurance sales.



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, 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 IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure 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 represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2
Termination	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	ILLINOIS
Sanction(s) Sought:	Revocation
Other Sanction(s) Sought:	
Date Initiated:	02/11/2008
Docket/Case Number:	0700481
Employing firm when activity occurred which led to the regulatory action:	UBS FINANCIAL SERVICES INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	RESPONDENT WILL WITHDRAW HIS REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS AND WILL NOT REAPPLY FOR REGISTRATION FOR A PERIOD OF TWO YEARS. RESPONDENT HAS PAID COST OF INVESTIGATION.
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? No

Resolution Date: 06/12/2008

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: RESPONDENT WILL WITHDRAW HIS REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS AND WILL NOT REAPPLY FOR REGISTRATION FOR A PERIOD OF TWO YEARS. RESPONDENT HAS PAID COST OF INVESTIGATION.

Regulator Statement IF YOU HAVE ANY FURTHER QUESTIONS PLEASE CONTACT DAN TUNICK AT 312-793-3384

Reporting Source: Individual

Regulatory Action Initiated By: ILLINOIS

Sanction(s) Sought: Revocation

Other Sanction(s) Sought:

Date Initiated: 02/11/2008

Docket/Case Number: 0700481

Employing firm when activity occurred which led to the regulatory action: UBS FINANCIAL SERVICES INC.

Product Type: No Product

Other Product Type(s):

Allegations: RESPONDENT WILL WITHDRAW HIS REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS AND WILL NOT REAPPLY FOR REGISTRATION FOR A PERIOD OF TWO YEARS. RESPONDENT HAS PAID COST OF INVESTIGATION.

Current Status: Final

Resolution: Order

Resolution Date: 06/12/2008

Sanctions Ordered:

Other Sanctions Ordered:

Sanction Details: RESPONDENT WILL WITHDRAW HIS REGISTRATION AS A SALESPERSON IN THE STATE OF ILLINOIS AND WILL NOT REAPPLY FOR REGISTRATION FOR A PERIOD OF TWO YEARS. RESPONDENT HAS PAID COST OF INVESTIGATION.



Reporting Source: Regulator

Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 04/27/2007

Docket/Case Number: HBD# 07-136

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

Product Type: Other

Other Product Type(s):

Allegations: **4/27/07** STIPULATION AND CONSENT TO PENALTY FILED BY THE NYSE DIVISION OF ENFORCEMENT AND PENDING CONSENTED TO FINDINGS: 1.VIOLATED NYSE RULE 346(B) BY ENGAGING IN AN OUTSIDE BUSINESS ACTIVITY AND/OR RECEIVING COMPENSATION FOR SUCH ACTIVITIES WITHOUT THE PRIOR WRITTEN CONSENT OF HIS MEMBER FIRM EMPLOYER. 2.VIOLATED NYSE 476(A) 6 BY ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE: A.FACILITATED THE PURCHASE OF INVESTMENTS AWAY FROM THE FIRM BY UBS CUSTOMERS WITHOUT THE APPROVAL OF HIS MEMBER FIRM EMPLOYER; B.MADE MATERIAL MISSTATEMENTS TO HIS MEMBER FIRM EMPLOYER ON HIS ANNUAL COMPLIANCE CERTIFICATIONS; AND C.MADE MATERIAL MISSTATEMENTS TO HIS BRANCH OFFICE MANAGER REGARDING HIS OUTSIDE BUSINESS ACTIVITY. STIPULATED SANCTION: A CENSURE, A \$10,000 FINE AND A THREE MONTH SUSPENSION FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY NYSE MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Decision

Resolution Date: 09/11/2007

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

Other Sanctions Ordered: CONSENT TO CENSURE, THREE-MONTH SUSPENSION AND \$10,000 FINE.

Sanction Details: **8/16/07** DECISION 07-136 ISSUED BY NYSE HEARING BOARD
DECISION: PARKER CONSENTED TO FINDINGS THAT HE VIOLATED:
1. VIOLATED NYSE RULE 346(B) BY ENGAGING IN AN OUTSIDE BUSINESS ACTIVITY AND/OR RECEIVING COMPENSATION FOR SUCH ACTIVITIES WITHOUT THE PRIOR WRITTEN CONSENT OF HIS MEMBER FIRM EMPLOYER. 2. VIOLATED NYSE 476(A) 6 BY ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE: A. FACILITATED THE PURCHASE OF INVESTMENTS AWAY FROM THE FIRM BY UBS CUSTOMERS WITHOUT THE APPROVAL OF HIS MEMBER FIRM EMPLOYER; B. MADE MATERIAL MISSTATEMENTS TO HIS MEMBER FIRM EMPLOYER ON HIS ANNUAL COMPLIANCE CERTIFICATIONS; AND C. MADE MATERIAL MISSTATEMENTS TO HIS BRANCH OFFICE MANAGER REGARDING HIS OUTSIDE BUSINESS ACTIVITY. SANCTION: CENSURE, A



Regulator Statement \$10,000 FINE AND A THREE-MONTH SUSPENSION.
 9/11/07 THE DECISION BECAME FINAL AS OF THE CLOSE OF BUSINESS ON SEPTEMBER 10, 2007. YOUR SUSPENSION WILL BECOME EFFECTIVE AS OF THE CLOSE OF BUSINESS ON SPETMEBER 17, 2007. CONTACT: PEGGY GERMINO 212-656-8450.

Reporting Source: Individual
Regulatory Action Initiated By: NEW YORK STOCK EXCHANGE DIVISION OF ENFORCEMENT
Sanction(s) Sought: Suspension
Date Initiated: 04/27/2007
Docket/Case Number: HDB# 07-136

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

Product Type: No Product

Allegations: **4/27/07** STIPULATION AND CONSENT TO PENALTY FILED BY THE NYSE DIVISION OF ENFORCEMENT AND PENDING CONSENTED TO FINDINGS: 1.VIOLATED NYSE RULE 346(B) BY ENGAGING IN AN OUTSIDE BUSINESS ACTIVITY AND/OR RECEIVING COMPENSATION FOR SUCH ACTIVITIES WITHOUT THE PRIOR WRITTEN CONSENT OF HIS MEMBER FIRM EMPLOYER. 2.VIOLATED NYSE 476(A) 6 BY ENGAGING IN CONDUCT INCONSISTENT WITH JUST AND EQUITABLE PRINCIPLES OF TRADE IN THAT HE: A.FACILITATED THE PURCHASE OF INVESTMENTS AWAY FROM THE FIRM BY UBS CUSTOMERS WITHOUT THE APPROVAL OF HIS MEMBER FIRM EMPLOYER; B.MADE MATERIAL MISSTATEMENTS TO HIS MEMBER FIRM EMPLOYER ON HIS ANNUAL COMPLIANCE CERTIFICATIONS; AND C.MADE MATERIAL MISSTATEMENTS TO HIS BRANCH OFFICE MANAGER REGARDING HIS OUTSIDE BUSINESS ACTIVITY. STIPULATED SANCTION: A CENSURE, A \$10,000 FINE AND A THREE MONTH SUSPENSION FROM MEMBERSHIP, ALLIED MEMBERSHIP, APPROVED PERSON STATUS, AND FROM EMPLOYMENT OR ASSOCIATION IN ANY CAPACITY WITH ANY NYSE MEMBER OR MEMBER ORGANIZATION.

Current Status: Final

Resolution: Decision

Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct? No

Resolution Date: 09/11/2007

Sanctions Ordered: Censure
 Suspension
 Other: CONSENT TO CENSURE, THREE-MONTH SUSPENSION AND \$10,000 FINE.

Sanction 1 of 1

Sanction Type: Suspension



Capacities Affected: General Securities

Duration: 3 months

Start Date: 09/17/2007

End Date: 12/18/2007

Broker Statement ****9/11/07** THE DECISION BECAME FINAL AS OF THE CLOSE OF BUSINESS ON SEPTEMBER 10, 2007. YOUR SUSPENSION WILL BECOME EFFECTIVE AS OF THE CLOSE OF BUSINESS ON SPETMEBER 17, 2007.**



Termination

This disclosure event involves a situation where the Investment Adviser Representative voluntarily resigned, was discharged or was permitted to resign after allegations were made that accused the Investment Adviser Representative of violating investment-related statutes, regulations, rules or industry standards of conduct; fraud or the wrongful taking of property; or failure to supervise in connection with investment-related statutes, regulations, rules or industry standards of conduct.

Disclosure 1 of 1

Reporting Source: Firm
Firm Name: UBS FINANCIAL SERVICES INC.
Termination Type: Discharged
Termination Date: 08/31/2005
Allegations: MR. EDISON RECEIVED COMPENSATION FROM A THIRD PARTY HEDGE FUND WITHOUT PRIOR WRITTEN APPROVAL FROM THE FIRM.
Product Type: Other
Other Product Types: HEDGE FUNDS

Reporting Source: Individual
Firm Name: UBS FINANCIAL SERVICES INC.
Termination Type: Discharged
Termination Date: 08/31/2005
Allegations: RECIEVED COMPENSATION FROM A THIRD PARTY HEDGE FUND WITHOUT PRIOR WRITTEN APPROVAL FROM THE FIRM.
Product Type: Other
Other Product Types: HEDGE FUNDS



End of Report

This page is intentionally left blank.