



IAPD Report

BRIAN CRAIG PARKER

CRD# 1631408

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Qualifications	2 - 5
Registration and Employment History	6 - 7
Disclosure Information	8



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

BRIAN CRAIG PARKER (CRD# 1631408)

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 **12/18/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SUPREME ALLIANCE LLC	CRD# 45348	07/01/2021
IA	SUPREME ALLIANCE LLC	CRD# 45348	04/01/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **17** 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
B	NEWBRIDGE SECURITIES CORPORATION	104065	BOCA RATON, FL	09/16/2020 - 06/17/2021
IA	NEXT FINANCIAL GROUP, INC.	46214	TIMBERLAKE, NC	03/07/2011 - 09/04/2020
B	NEXT FINANCIAL GROUP, INC.	46214	TIMBERLAKE, NC	10/04/2010 - 09/04/2020

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 17 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **SUPREME ALLIANCE LLC**

Main Address: CHARLOTTE, NC

Firm ID#: 45348

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	07/01/2021
B FINRA	Invest. Co and Variable Contracts	Approved	07/01/2021
B California	Agent	Approved	02/16/2023
IA California	Investment Adviser Representative	Approved	02/24/2023
B Florida	Agent	Approved	02/03/2025
IA Florida	Investment Adviser Representative	Approved	02/06/2025
B Georgia	Agent	Approved	03/31/2023
IA Georgia	Investment Adviser Representative	Approved	03/31/2023
B Indiana	Agent	Approved	06/27/2023
IA Indiana	Investment Adviser Representative	Approved	06/27/2023
B Louisiana	Agent	Approved	10/14/2024
IA Louisiana	Investment Adviser Representative	Approved	10/14/2024
B Michigan	Agent	Approved	04/30/2024
IA Michigan	Investment Adviser Representative	Approved	04/30/2024



Qualifications

Regulator	Registration	Status	Date
B Minnesota	Agent	Approved	04/10/2023
IA Minnesota	Investment Adviser Representative	Approved	04/25/2023
B New Jersey	Agent	Approved	03/26/2025
IA New Jersey	Investment Adviser Representative	Approved	03/27/2025
IA New York	Investment Adviser Representative	Approved	05/12/2022
B New York	Agent	Approved	05/14/2022
B North Carolina	Agent	Approved	11/15/2021
IA North Carolina	Investment Adviser Representative	Approved	04/01/2022
B Ohio	Agent	Approved	09/08/2024
IA Ohio	Investment Adviser Representative	Approved	12/11/2024
B Pennsylvania	Agent	Approved	06/14/2022
IA Pennsylvania	Investment Adviser Representative	Approved	06/14/2022
B South Carolina	Agent	Approved	12/18/2023
IA South Carolina	Investment Adviser Representative	Approved	02/12/2025
B Texas	Agent	Approved	02/07/2025
IA Texas	Investment Adviser Representative	Restricted Approval	02/12/2025
B Virginia	Agent	Approved	12/13/2024
IA Virginia	Investment Adviser Representative	Approved	01/06/2025



Qualifications

Regulator	Registration	Status	Date
B	West Virginia	Agent	Approved 10/05/2023
IA	West Virginia	Investment Adviser Representative	Approved 10/20/2023
B	Wisconsin	Agent	Approved 04/23/2025
IA	Wisconsin	Investment Adviser Representative	Approved 04/23/2025

Branch Office Locations

SUPREME ALLIANCE LLC
Timberlake, NC

SUPREME ALLIANCE LLC
Charlotte, NC



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, 4 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
 Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	10/04/2000
 Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	04/22/1987

State Securities Law Exams

Exam	Category	Date
  Uniform Combined State Law Examination (S66)	Series 66	03/01/2011
 Uniform Securities Agent State Law Examination (S63)	Series 63	10/09/2000

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
B	09/16/2020 - 06/17/2021	NEWBRIDGE SECURITIES CORPORATION	CRD# 104065	BOCA RATON, FL
IA	03/07/2011 - 09/04/2020	NEXT FINANCIAL GROUP, INC.	CRD# 46214	TIMBERLAKE, NC
B	10/04/2010 - 09/04/2020	NEXT FINANCIAL GROUP, INC.	CRD# 46214	TIMBERLAKE, NC
B	04/03/2006 - 09/17/2010	CENTURY SECURITIES ASSOCIATES, INC.	CRD# 28218	LITHIA, FL
B	10/31/2005 - 04/07/2006	AIG FINANCIAL ADVISORS, INC.	CRD# 133763	CLEARWATER, FL
B	12/02/2004 - 10/31/2005	SUNAMERICA SECURITIES, INC.	CRD# 20068	PHOENIX, AZ
IA	09/19/2003 - 11/18/2004	LEGG MASON WOOD WALKER INC	CRD# 6555	TAMPA, FL
B	09/12/2003 - 11/18/2004	LEGG MASON WOOD WALKER, INCORPORATED	CRD# 6555	BALTIMORE, MD
IA	10/06/2000 - 09/22/2003	A. G. EDWARDS & SONS, INC.	CRD# 4	CLEARWATER, FL
B	10/05/2000 - 09/22/2003	A. G. EDWARDS & SONS, INC.	CRD# 4	ST. LOUIS, MO
B	04/23/1987 - 02/10/1988	SMA EQUITIES, INC.	CRD# 3960	

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
06/2021 - Present	Supreme Alliance LLC	RR/IAR	Y	Charlotte, NC, United States
09/2020 - 06/2021	NEWBRIDGE FINANCIAL SERVICES GROUP, INC	INVESTMENT ADVISER REPRESENTATIVE	Y	TIMBERLAKE, NC, United States
09/2020 - 06/2021	NEWBRIDGE SECURITIES CORPORATION	REGISTERED REPRESENTATIVE	Y	TIMBERLAKE, NC, United States



Registration & Employment History

EMPLOYMENT HISTORY

Employment Dates	Employer Name	Position	Investment Related	Employer Location
09/2010 - 09/2020	NEXT FINANCIAL GROUP, INC	REGISTERED REPRESENTATIVE	Y	TIMBERLAKE, NC, 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.

No information reported.



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:	Individual
Regulatory Action Initiated By:	State of North Carolina Department of the Secretary of State Securities Division
Sanction(s) Sought:	Civil and Administrative Penalty(ies)/Fine(s)
Date Initiated:	11/10/2021
Docket/Case Number:	N/A
Employing firm when activity occurred which led to the regulatory action:	Next Financial Group
Product Type:	No Product
Allegations:	The state suggested that Parker's financial disclosures were not timely.
Current Status:	Final
Resolution:	Settled
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:	11/10/2021
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s)
Monetary Sanction 1 of 1	



Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$2,500.00
Portion Levied against individual:	\$2,500.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	11/12/2021
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	This has been resolved and finalized with the State of North Carolina. There was a \$2,500 civil penalty and \$5,000 reimbursement for investigative costs. Parker is on heightened supervision until 11/15/2023.
Disclosure 2 of 2	
Reporting Source:	Individual
Regulatory Action Initiated By:	FLORIDA DEPARTMENT OF INSURANCE.
Sanction(s) Sought:	Revocation
Date Initiated:	03/25/1993
Docket/Case Number:	93-L-083JDM
Employing firm when activity occurred which led to the regulatory action:	SELF-EMPLOYED
Product Type:	Insurance
Allegations:	VIOLATED FLORIDA STATE STATUES 626.611 TO 626.691 WHICH INCLUDES CHARGING A FEE WITHOUT CUSTOMER PERMISSION AND FAILURE TO FORWARD THE PREMIUM AND APPLICATION TO COMPANY IN A TIMELY FASHION.
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:	08/04/1994
Sanctions Ordered:	Revocation
Broker Statement	AT THE TIME OF THIS COMPLAINT I HAD BEEN IN THE INSURANCE BUSINESS IN FLORIDA FOR 7 YEARS. DURING THAT TIME I HAD NO COMPLAINTS FROM CUSTOMERS. PRIOR TO ENGAGING IN THE SALE OF THESE DENTAL SERVICE PLAN PRODUCTS I HAD CALLED BOTH THE INSURANCE DEPARTMENT AND THE



COMPANY TO ASK ABOUT CHARGING A FEE TO PRODUCE A SPREADSHEET COMPARISON OF ALL SIMILAR DENTAL PLANS. THE FEE WAS FIFTEEN DOLLARS AND IN FACT WAS AGREED TO IN ADVANCE IN WRITING BY ALL CUSTOMERS. I WAS TOLD THIS PRACTICE WOULD BE O.K.

AT A LATER DATE I WAS TOLD THIS WAS NOT O.K. AND NEITHER THE STATE NOR DENTICARE HAD KNOWLEDGE OF THIS.

AT THIS POINT AN INVESTIGATION WAS PURSUED.

AT THE CONCLUSION OF THE INVESTIGATION THE STATE OFFERED TO SETTLE THE CASE FOR \$2,000.00 WHICH I DECLINED TO DO.

AFTER THAT THE STATE REVOKED MY LICENSE WITH THE RIGHT TO REAPPLY AFTER TWO YEARS.

*****I HAVE SINCE BECOME RELICENSED FOR INSURANCE*****



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: NEXT FINANCIAL GROUP, INC.
Termination Type: Permitted to Resign
Termination Date: 08/28/2020
Allegations: Repeated failure to timely report unsatisfied judgments/tax liens for Form U4 reporting purposes.
Product Type: No Product

Reporting Source: Individual
Firm Name: NEXT FINANCIAL GROUP, INC
Termination Type: Permitted to Resign
Termination Date: 08/28/2020
Allegations: Repeated failure to timely report unsatisfied judgments/tax liens for Form U4 reporting purposes.
Product Type: No Product
Broker Statement I do not agree with this conclusion. I worked with the company to verify these disclosures within 10 days of learning of them. Some of the liens were filed in the wrong State, the wrong County, which prevented me from learning of them sooner. Several were Duplicates! for the same tax year.



End of Report

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