IAPD Report

FRANK EDWARD PARE JR

CRD# 2098302

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

FRANK EDWARD PARE JR (CRD# 2098302)

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 **05/20/2021**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
IA	PF WEALTH MANAGEMENT GROUP, LLC	CRD# 140015	04/07/2006

QUALIFICATIONS

This representative is currently registered in **0** SRO(s) and **1** 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	BELLATORE SECURITIES, INC.	143868	SAN JOSE, CA	10/04/2007 - 09/18/2009
B	LORING WARD SECURITIES INC.	46337	SAN JOSE, CA	06/04/2001 - 02/27/2006
B	MR. STOCK, INC.	33150	SAN FRANCISCO, CA	06/17/1999 - 10/02/2000

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	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 **1** jurisdiction(s) and **0** SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **PF WEALTH MANAGEMENT GROUP, LLC**

Main Address: 1970 BROADWAY
SUITE 525
OAKLAND, CA 94612

Firm ID#: 140015

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	04/07/2006

Branch Office Locations

PF WEALTH MANAGEMENT GROUP, LLC
1970 BROADWAY
SUITE 525
OAKLAND, CA 94612

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

Principal/Supervisory Exams

	Exam	Category	Date
B	Municipal Securities Principal Examination (S53)	Series 53	07/18/1997
B	General Securities Principal Examination (S24)	Series 24	01/29/1996
B	General Securities Sales Supervisor Examination (Options Module & General Module) (S8)	Series 8	11/16/1992

General Industry/Product Exams

	Exam	Category	Date
B	General Securities Representative Examination (S7)	Series 7	07/25/1991

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/11/1996
B	Uniform Securities Agent State Law Examination (S63)	Series 63	08/27/1991

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Certified Financial Planner

This representative holds or did hold **1** professional designation(s) that may have been used to qualify as an Investment Advisor representative. Please check with the appropriate designation authority for verification that the designation is still in effect. The contact information for these professional designation authorities can be found on the website for the North American Securities Administrators Association at http://www.nasaa.org

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	10/04/2007 - 09/18/2009	BELLATORE SECURITIES, INC.	CRD# 143868	SAN JOSE, CA
B	06/04/2001 - 02/27/2006	LORING WARD SECURITIES INC.	CRD# 46337	SAN JOSE, CA
B	06/17/1999 - 10/02/2000	MR. STOCK, INC.	CRD# 33150	SAN FRANCISCO, CA
B	04/21/1998 - 04/13/1999	BA INVESTMENT SERVICES, INC.	CRD# 12965	OAKLAND, CA
B	04/29/1998 - 07/01/1998	SEAFIRST INVESTMENT SERVICES, INC.	CRD# 17411	SEATTLE, WA
B	05/08/1997 - 03/09/1998	WELLS FARGO SECURITIES INC.	CRD# 17438	SAN FRANCISCO, CA
B	08/30/1991 - 10/24/1996	CHARLES SCHWAB & CO., INC.	CRD# 5393	WESTLAKE, TX

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
05/2006 - Present	OHIO NATIONAL LIFE INSURANCE COMPANY	IND. CONTRACTOR, INSURANCE AGENT	N	CINCINNATI, OH, United States
03/2006 - Present	PF WEALTH MANAGEMENT GROUP, LLC	PRESIDENT	Y	OAKLAND, CA, 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.

PF WEALTH MANAGEMENT GROUP, LLC; INV-RELATED; 1999 HARRISON STREET, SUITE 1650 OAKLAND,CA 94612; REGISTERED INVESTMENT ADVISOR; PRESIDENT; 03/06; 30 HOURS/WK; CONSULTING AND FINANCIAL ADVISING.

OHIO NATIONAL LIFE INSURANCE COMPANY; NON-INV RELATED; ONE FINANCIAL WAY, CINCINNATI, OH 45242; INSURANCE COMPANY; 05-06/2006; WITHIN THE 30 HRS/WK SPENT FOR PF WEALTH MANAGEMENT GROUP; PROVIDE ASSESSMENT OF WHETHER CUSTOMERS OF PF WEALTH MANAGEMENT GROUP WOULD NEED INSURANCE OR

Registration & Employment History

OTHER BUSINESS ACTIVITIES

PROVIDE CONSULTING IF THE CUSTOMERS HAVE INSURANCE NEEDS.

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	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 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/05/2002
Docket/Case Number:	C01020022
Employing firm when activity occurred which led to the regulatory action:	MR. STOCK, INC.
Product Type:	No Product
Other Product Type(s):	
Allegations:	NASD RULES 1022(B)(2)(F), 1120, AND 2110 - RESPONDENT ACTING ON BEHALF OF HIS MEMBER FIRM PERMITTED AN EMPLOYEE TO PERFORM DUTIES OF A REGISTERED PERSON WHILE HE WAS DEEMED INACTIVE FOR FAILURE TO COMPLETE THE REGULATORY ELEMENT OF CONTINUING EDUCATION; AND PERMITTED AN EMPLOYEE TO EXERCISED SUPERVISION OF AND RESPONSABILITY FOR HIS FIRM'S BACK OFFICE WITHOUT BEING PROPERLY REGISTERED WITH NASD.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement

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:	12/23/2003
Sanctions Ordered:	Censure Monetary/Fine $7,500.00
Other Sanctions Ordered:	
Sanction Details:	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS CENSURED AND FINED $2,500. IN ADDITION RESPONDENT ALSO FINED $5,000, JOINTLY AND SEVERALLY.

Reporting Source:	Individual
Regulatory Action Initiated By:	NASD
Sanction(s) Sought:	Censure
Other Sanction(s) Sought:	MONETARY FINE
Date Initiated:	12/05/2002
Docket/Case Number:	DISCIPLINARY PROCEEDING # C01020022
Employing firm when activity occurred which led to the regulatory action:	MR. STOCK, INC.
Product Type:	Other
Other Product Type(s):	NO PRODUCT INVOLVED
Allegations:	FRANK PARE JR. ALLEGEDLY PERMITTED [OTHER FIRM EMPLOYEE] TO PERFORM DUTIES OF A REGISTERED PERSON DURING THE TIME PERIOD OF AUGUST 1999 TO AUGUST 24, 2000, WHILE DEEMED INACTIVE FOR FAILURE TO COMPLETE THE REGULATORY ELEMENT OF CONTINUING EDUCATION. MR. PARE ALLEGEDLY PERMITTED [THIRD PARTY] TO EXERCISE SUPERVISION OF AND RESPONSIBILITY FOR MR. STOCK'S BACK OFFICE WITHOUT BEING REGISTERED AS A LIMITED PRINCIPAL- FINANCIAL AND OPERATIONS.
Current Status:	Final
Resolution:	Settled
Resolution Date:	12/23/2003
Sanctions Ordered:	Censure Monetary/Fine $2,500.00
Other Sanctions Ordered:	NONE
Sanction Details:	FRANK PARE AND RESONDENTS NAMED IN COMPLAINT ARE FINED $5000 JOINTLY AND SEVERALLY, AND FRANK PARE FINED $2500.
Broker Statement	[OTHER FIRM EMPLOYEE] WAS DESIGNATED AS "IN-ACTIVE" WHEN HE

JOINED THE FIRM. SINCE HIS U-4 WAS PROCESS AND SIGNED BY THE CFO AND NOT BY ME, I WAS NOT AWARE OF HIS STATUS NOR INFORMED UNTIL AN NASD AUDIT.

[THIRD PARTY] (A GENERAL PRINCIPAL) WAS GIVEN NEW ADDITIONAL RESPONSIBILITIES, WHICH REQUIRED A SERIES 28 BY THE CEO WITHOUT MY KNOWLEDGE.

End of Report

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