



## IAPD Report

# R PARKER GRIFFITH III

CRD# 2200681

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

**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

### R PARKER GRIFFITH III (CRD# 2200681)

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 **05/08/2026**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	09/11/2012
IA	ROBERT W. BAIRD & CO. INCORPORATED	CRD# 8158	09/11/2012

### QUALIFICATIONS

This representative is currently registered in **4** SRO(s) and **26** 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	MORGAN STANLEY SMITH BARNEY	149777	NASHVILLE, TN	06/01/2009 - 09/21/2012
IA	MORGAN STANLEY SMITH BARNEY LLC	149777	NASHVILLE, TN	06/01/2009 - 09/21/2012
IA	CITIGROUP GLOBAL MARKETS INC.	7059	NASHVILLE, TN	04/27/2004 - 06/01/2009

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 **26** jurisdiction(s) and 4 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **ROBERT W. BAIRD & CO. INCORPORATED**

Main Address: 777 E. WISCONSIN AVENUE  
MILWAUKEE, WI 53202-5391

Firm ID#: 8158

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	09/11/2012
B	FINRA	General Securities Sales Supervisor	Approved	09/11/2012
B	NYSE American LLC	General Securities Representative	Approved	09/11/2012
B	NYSE American LLC	General Securities Sales Supervisor	Approved	10/01/2018
B	Nasdaq Stock Market	General Securities Representative	Approved	09/11/2012
B	Nasdaq Stock Market	General Securities Sales Supervisor	Approved	09/11/2012
B	New York Stock Exchange	General Securities Representative	Approved	09/11/2012
B	New York Stock Exchange	General Securities Sales Supervisor	Approved	10/01/2018
B	Alabama	Agent	Approved	09/11/2012
B	California	Agent	Approved	09/11/2012
B	Colorado	Agent	Approved	09/11/2012
B	Florida	Agent	Approved	04/05/2018
IA	Florida	Investment Adviser Representative	Approved	04/05/2018

**Qualifications**

	<b>Regulator</b>	<b>Registration</b>	<b>Status</b>	<b>Date</b>
<b>B</b>	Georgia	Agent	Approved	01/12/2023
<b>B</b>	Illinois	Agent	Approved	09/11/2012
<b>B</b>	Indiana	Agent	Approved	09/11/2012
<b>B</b>	Kentucky	Agent	Approved	09/11/2012
<b>B</b>	Louisiana	Agent	Approved	09/11/2012
<b>B</b>	Maryland	Agent	Approved	08/30/2016
<b>B</b>	Massachusetts	Agent	Approved	04/18/2013
<b>B</b>	Mississippi	Agent	Approved	08/01/2022
<b>B</b>	Montana	Agent	Approved	06/26/2023
<b>B</b>	New Jersey	Agent	Approved	05/11/2026
<b>B</b>	New York	Agent	Approved	03/07/2021
<b>B</b>	North Carolina	Agent	Approved	04/17/2017
<b>B</b>	Ohio	Agent	Approved	05/18/2016
<b>B</b>	Oregon	Agent	Approved	09/11/2012
<b>B</b>	Pennsylvania	Agent	Approved	11/01/2021
<b>B</b>	South Carolina	Agent	Approved	09/11/2012
<b>B</b>	South Dakota	Agent	Approved	05/11/2026
<b>B</b>	Tennessee	Agent	Approved	09/11/2012
<b>IA</b>	Tennessee	Investment Adviser Representative	Approved	09/11/2012



### Qualifications

Regulator	Registration	Status	Date
<b>B</b> Texas	Agent	Approved	09/11/2012
<b>IA</b> Texas	Investment Adviser Representative	Restricted Approval	04/11/2017
<b>B</b> Virginia	Agent	Approved	12/11/2018
<b>B</b> Washington	Agent	Approved	05/11/2026
<b>B</b> West Virginia	Agent	Approved	04/15/2019

### Branch Office Locations

**ROBERT W. BAIRD & CO. INCORPORATED**  
1600 West End Ave, Suite 1100  
NASHVILLE, TN 37203

**ROBERT W. BAIRD & CO. INCORPORATED**  
901 Neal Street, Suite 201  
Cookeville, TN 38501





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



#### Principal/Supervisory Exams

Exam	Category	Date
 General Securities Sales Supervisor - General Module Examination (S10)	Series 10	09/04/2007
 General Securities Sales Supervisor - Options Module Examination (S9)	Series 9	09/04/2007

#### General Industry/Product Exams

Exam	Category	Date
 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 General Securities Representative Examination (S7)	Series 7	01/21/1992

#### State Securities Law Exams

Exam	Category	Date
 Uniform Investment Adviser Law Examination (S65)	Series 65	09/16/1992
 Uniform Securities Agent State Law Examination (S63)	Series 63	01/27/1992

### 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	06/01/2009 - 09/21/2012	MORGAN STANLEY SMITH BARNEY	CRD# 149777	NASHVILLE, TN
IA	06/01/2009 - 09/21/2012	MORGAN STANLEY SMITH BARNEY LLC	CRD# 149777	NASHVILLE, TN
IA	04/27/2004 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NASHVILLE, TN
B	01/02/2002 - 06/01/2009	CITIGROUP GLOBAL MARKETS INC.	CRD# 7059	NASHVILLE, TN
B	01/23/1992 - 01/02/2002	THE ROBINSON-HUMPHREY COMPANY, LLC	CRD# 723	ATLANTA, GA

### 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
09/2012 - Present	ROBERT W. BAIRD & CO. INCORPORATED	BRANCH MANAGER	Y	NASHVILLE, TN, 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	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:** FINRA

**Sanction(s) Sought:**

**Date Initiated:** 07/27/2016

**Docket/Case Number:** 2014040147502

**Employing firm when activity occurred which led to the regulatory action:** Robert W. Baird & Co. Incorporated

**Product Type:** No Product

**Allegations:** Without admitting or denying the findings, Griffith consented to the sanctions and to the entry of findings that he and his member firm did not reasonably supervise a former registered representative's misuse of customer funds. The findings stated that Griffith, who was the registered representative's direct supervisor, did not reasonably follow-up on red flags associated with a trade correction request submitted by the registered representative that should have alerted him to the registered representative's misuse of customer funds. The findings also stated that Griffith also did not follow certain of the firm's written supervisory procedures (WSPs) relating to trade corrections which, if followed, would have prevented the registered representative's misuse of customer funds. The findings also included that Griffith did not reasonably follow-up on these red flags and instead relied on the registered representative's uncorroborated statements that a customer was willing to pay above-market value for the stock and accept an unrealized loss of over \$34,000 as a result of the registered representative's error. FINRA found that in reviewing and approving the trade correction request, Griffith did not follow some of the firm's WSPs. The firm's WSPs stated that customer losses caused by a registered representative's error would be borne by the firm or the registered



representative. The WSPs further stated that supervisors were required to obtain and maintain documentation and verification of the reasons for, and details surrounding, the trade errors and correction. Contrary to these procedures, Griffith approved the trade correction request when the resulting correction allocated the trade loss to the customer rather than the firm or the registered representative, and he did not reasonably document the reasons for, or details surrounding, the trade correction. After it became clear that the customer of the registered representative did not, in fact, agree to purchase the stock at above-market value, the firm reimbursed the customer for the loss.

**Current Status:**

Final

**Resolution:**

Acceptance, Waiver & Consent(AWC)

**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:**

07/27/2016

**Sanctions Ordered:**

Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?**

No

**(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?**



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

#### Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	any principal capacity
Duration:	10 business days
Start Date:	08/15/2016
End Date:	08/26/2016

#### Monetary Sanction 1 of 1

Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	\$5,000.00
Portion Levied against individual:	\$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	08/08/2016
Was any portion of penalty waived?	No

**Amount Waived:****Regulator Statement** fine paid in full on August 8, 2016.  
.....**Reporting Source:** Individual**Regulatory Action Initiated By:** FINRA**Sanction(s) Sought:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension**Date Initiated:** 07/27/2016**Docket/Case Number:** 2014040147502**Employing firm when activity occurred which led to the regulatory action:** Robert W. Baird & co. Incorporated**Product Type:** No Product**Allegations:** Without admitting or denying any findings, Griffith consented to sanctions and the entry of findings that he did not reasonably supervise a former Financial Advisor's misuse of client funds. According to the findings, Griffith as the Financial Advisor's Branch Manager did not reasonably follow up on issues associated with a trade correction request submitted by the FA that should have alerted him to the FA's misuse of client funds. Additionally, the findings state that Griffith did not follow some of the Firm's written supervisory procedures (WSPs) regarding trade corrections, which would have prevented the FA's misuse of funds if followed. The findings further state that, instead of following up on issues associated with the trade correction, Griffith trusted the FA's uncorroborated statement that the client was willing to pay above-market value for the stock, resulting in an unrealized loss of more than \$34,000. Within two weeks after the trade correction, it became clear that the FA's client did not agree to the purchase of the stock at above-market value. Griffith brought this issue to the Firm's attention, and the Firm reimbursed the client for the loss.**Current Status:** Final**Resolution:** Acceptance, Waiver & Consent(AWC)**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:** 07/27/2016**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension**Sanction 1 of 1****Sanction Type:** Suspension**Capacities Affected:** any Principal capacity**Duration:** 10 business days**Start Date:** 08/15/2016**End Date:** 08/26/2016



**Monetary Sanction 1 of 1**

**Monetary Related Sanction:** Civil and Administrative Penalty(ies)/Fine(s)

**Total Amount:** \$5,000.00

**Portion Levied against individual:** \$5,000.00

**Payment Plan:**

**Is Payment Plan Current:**

**Date Paid by individual:** 08/08/2016

**Was any portion of penalty waived?** No

**Amount Waived:**

**Broker Statement** Griffith decided to settle this issue in order to avoid the significant cost of litigating this matter.



## End of Report

This page is intentionally left blank.