



## IAPD Report

# LAMONT PERCELL PARKER

CRD# 2946241

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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

### LAMONT PERCELL PARKER (CRD# 2946241)

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 **12/16/2024**.

### CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
<b>B</b>	LIFEMARK SECURITIES CORP.	CRD# 16204	07/05/2011
<b>IA</b>	LIFEMARK SECURITIES CORP.	CRD# 16204	07/05/2011

### QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **4** 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>IA</b>	BROOKSTONE INVESTMENT ADVISORY SERVICES	13366	NEWARK, DE	05/16/2007 - 06/17/2011
<b>B</b>	BROOKSTONE SECURITIES, INC.	13366	WILMINGTON, DE	04/03/2007 - 06/17/2011
<b>IA</b>	BROOKSTONE INVESTMENT ADVISORY SERVICES	13366	NEWARK, DE	04/02/2007 - 04/04/2007

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	4
Customer Dispute	1
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 4 jurisdiction(s) and 1 SRO(s) through his or her employer(s).

### Employment 1 of 1

Firm Name: **LIFEMARK SECURITIES CORP.**  
Main Address: 400 WEST METRO PARK  
ROCHESTER, NY 14623  
Firm ID#: 16204

Regulator	Registration	Status	Date
<b>B</b> FINRA	General Securities Representative	Approved	07/05/2011
<b>B</b> Delaware	Agent	Approved	07/05/2011
<b>IA</b> Delaware	Investment Adviser Representative	Approved	07/05/2011
<b>B</b> New Jersey	Agent	Approved	07/07/2011
<b>B</b> Pennsylvania	Agent	Approved	07/06/2011
<b>B</b> Virginia	Agent	Approved	07/05/2011

### Branch Office Locations

**LIFEMARK SECURITIES CORP.**  
NEWARK, DE



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




#### Principal/Supervisory Exams

Exam	Category	Date
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No information reported.



#### General Industry/Product Exams

Exam	Category	Date
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 Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
 Futures Managed Funds Examination (S31)	Series 31	04/06/1998
 General Securities Representative Examination (S7)	Series 7	02/13/1998

#### State Securities Law Exams

Exam	Category	Date
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 Uniform Investment Adviser Law Examination (S65)	Series 65	04/13/1998
 Uniform Securities Agent State Law Examination (S63)	Series 63	04/01/1998

### 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	05/16/2007 - 06/17/2011	BROOKSTONE INVESTMENT ADVISORY SERVICES	CRD# 13366	NEWARK, DE
B	04/03/2007 - 06/17/2011	BROOKSTONE SECURITIES, INC.	CRD# 13366	WILMINGTON, DE
IA	04/02/2007 - 04/04/2007	BROOKSTONE INVESTMENT ADVISORY SERVICES	CRD# 13366	NEWARK, DE
IA	09/22/2005 - 04/02/2007	FIRST MIDWEST SECURITIES, INC.	CRD# 21786	KENNETT SQUARE, PA
B	08/19/2005 - 04/02/2007	FIRST MIDWEST SECURITIES, INC.	CRD# 21786	KENNETT SQUARE, PA
IA	11/04/2003 - 07/18/2005	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	WILMINGTON, DE
B	03/31/2003 - 07/18/2005	RAYMOND JAMES & ASSOCIATES, INC.	CRD# 705	ST. PETERSBURG, FL
IA	05/21/1998 - 04/03/2003	MORGAN STANLEY	CRD# 7556	WILMINGTON, DE
B	03/23/1998 - 04/03/2003	MORGAN STANLEY DW INC.	CRD# 7556	PURCHASE, NY
B	02/17/1998 - 07/08/1998	AMERICAN EXPRESS FINANCIAL ADVISORS INC.	CRD# 6363	MINNEAPOLIS, MN
B	02/17/1998 - 07/08/1998	IDS LIFE INSURANCE COMPANY	CRD# 6321	MINNEAPOLIS, MN

### 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
06/2011 - Present	LIFEMARK SECURITIES CORP.	REGISTERED REPRESENTATIVE	Y	ROCHESTER, NY, United States
10/1997 - Present	INDEPENDENT INSURANCE AGENT	INDEPENDENT INSURANCE AGENT	Y	NEWARK, DE, United States



## Registration & Employment History



### 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.

ALL BUSINESSES LOCATED AT 721 WILLINGTON SQUARE WAY, NEWARK, DE 19711. DBA OF DELAWARE VALLEY WEALTH MANAGEMENT GROUP USED FOR SECURITIES BUSINESS. DELAWARE VALLEY WEALTH MANAGEMENT GROUP (DVWWMG)/ INVESTMENT RELATED / INDEPENDENT INSURANCE AGENT / START 10/1997 / SALES AND SERVICE OF FIXED ANNUITIES AND LIFE INSURANCE.

DVWWMG FOUNDATION: PRESIDENT/NON-PROFIT NOT INVESTMENT RELATED. DONATING MONEY & FOOD TO COMMUNITY APPROX. 15HRS A MONTH(WEEKEND WORK). MY WIFE AND I FOUNDED THIS FOUNDATION IN 2006.



## 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	4
Customer Dispute	1
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 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	FINRA
<b>Sanction(s) Sought:</b>	Other: N/A
<b>Date Initiated:</b>	07/24/2012
<b>Docket/Case Number:</b>	<a href="#">2010021108001</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	BROOKSTONE SECURITIES, INC.
<b>Product Type:</b>	Annuity-Variable
<b>Allegations:</b>	FINRA RULES 2010, 2330(B), NASD RULE 2821(B) - LAMONT PARKER RECOMMENDED DEFERRED VARIABLE ANNUITY PURCHASES OR EXCHANGES TO CUSTOMERS WITHOUT HAVING A REASONABLE BASIS TO BELIEVE THAT THE CUSTOMER HAD BEEN INFORMED OF THE POTENTIAL SURRENDER PERIODS AND SURRENDER CHARGES ASSOCIATED WITH THE ANNUITIES OR THE POTENTIAL CHARGES FOR AND FEATURES OF RIDERS ASSOCIATED WITH THE ANNUITIES. PARKER COMPLETED AND PROVIDED CUSTOMERS WITH DEFERRED VARIABLE ANNUITY DISCLOSURE FORMS WITH INACCURATE INFORMATION REGARDING THE DETAILS OF THE PRINCIPAL PROTECTION RIDERS AND THE LENGTH OF THE SURRENDER PERIODS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:**

07/24/2012

**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 CAPACITY  
**Duration:** 10 BUSINESS DAYS  
**Start Date:** 08/20/2012  
**End Date:** 08/31/2012

**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:** Yes  
**Date Paid by individual:** 04/12/2013  
**Was any portion of penalty waived?** No

**Amount Waived:**

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, PARKER CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$5,000 AND SUSPENDED FROM ASSOCIATION WITH ANY FINRA MEMBER IN ANY CAPACITY FOR 10 BUSINESS DAYS. THE SUSPENSION IS IN EFFECT FROM AUGUST 20, 2012 THROUGH AUGUST 31, 2012. FINE PAID IN FULL ON APRIL 12, 2013

**Reporting Source:** Individual  
**Regulatory Action Initiated By:** FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)  
**Sanction(s) Sought:** Other: N/A  
**Date Initiated:** 07/24/2012



<b>Docket/Case Number:</b>	2010021108001
<b>Employing firm when activity occurred which led to the regulatory action:</b>	BROOKSTONE SECURITIES, INC.
<b>Product Type:</b>	Annuity-Variable
<b>Allegations:</b>	FINRA RULES 2010, 2230(B), NASD RULE 2821(B) - REP RECOMMENDED DEFERRED VARIABLE ANNUITY PURCHASES OR EXCHANGES TO CUSTOMERS WITHOUT HAVING A REASONABLE BASIS TO BELIEVE THAT THE CUSTOMER HAD BEEN INFORMED OF THE POTENTIAL SURRENDER PERIOD AND SURRENDER CHARGES ASSOCIATED WITH THE ANNUITIES OR THE POTENTIAL CHARGES FOR AND FEATURES OF RIDERS ASSOCIATED WITH THE ANNUITIES. REP COMPLETED AND PROVIDED CUSTOMERS WITH DEFERRED VARIABLE ANNUITY DISCLOSURE FORMS WITH INACCURATE INFORMATION REGARDING THE DETAILS OF THE PRINCIPAL PROTECTION RIDERS AND THE LENGTH OF THE SURRENDER PERIODS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Acceptance, Waiver & Consent(AWC)
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	No
<b>Resolution Date:</b>	07/24/2012
<b>Sanctions Ordered:</b>	Civil and Administrative Penalty(ies)/Fine(s) Suspension
<b>Sanction 1 of 1</b>	
<b>Sanction Type:</b>	Suspension
<b>Capacities Affected:</b>	ANY CAPACITY
<b>Duration:</b>	10 BUSINESS DAYS
<b>Start Date:</b>	08/20/2012
<b>End Date:</b>	08/31/2012
<b>Monetary Sanction 1 of 1</b>	
<b>Monetary Related Sanction:</b>	Civil and Administrative Penalty(ies)/Fine(s)
<b>Total Amount:</b>	\$5,000.00
<b>Portion Levied against individual:</b>	\$5,000.00
<b>Payment Plan:</b>	ENROLLED IN FINRA PAYMENT PLAN
<b>Is Payment Plan Current:</b>	Yes
<b>Date Paid by individual:</b>	
<b>Was any portion of penalty waived?</b>	No
<b>Amount Waived:</b>	

**Broker Statement**

DURING MY REGISTRATION WITH BROOKSTONE SECURITIES, PROPRIETARY B/D FORMS CHANGED CONTINUOUSLY. ON THE FORMS THAT WERE GIVEN TO ME BY MY B/D, I INFORMED THE CLIENTS THAT THE PRODUCT WAS EITHER A 7 YR PRODUCT OR A 10 YR PRODUCT. I INFORMED THE CLIENTS OF THE ACTUAL COST (\$8,500 THE FIRST YR OF SURRENDER INSTEAD OF THE 8.5% SURRENDER COST). I BELIEVED IT WAS IMPORTANT TO GIVE THE TRAILING DOLLAR FIGURES OF THE DECLINING CDSC INSTEAD OF THE DECLINING SURRENDER PERCENTAGES. MY B/D ACCEPTED MY PAPERWORK WITHOUT QUESTION. ACCORDING TO FINRA IT WAS INCORRECT SO I WAS CITED ON THIS ISSUE DURING A CYCLE AUDIT. \*I HAVE LEGAL AFFIDAVITS FROM EACH CLIENT THAT ALL FEES & BENEFITS WERE DISCUSSED IN DETAIL. IN THE COMMENT SECTION OF THE PROPRIETARY B/D PAPERWORK, I LISTED FEATURES & BENEFITS THAT THE ANNUITY OFFERED AND EXPLAINED THESE FEATURES TO THE CLIENTS. ACCORDING TO FINRA, IT WAS MISLEADING BECAUSE I SHOULD HAVE ONLY LISTED THE BENEFITS THAT THE CLIENTS ACCEPTED. I WAS DISCLOSING ALL INFORMATION CONCERNING THESE ANNUITIES SO THAT MY B/D COULD MAKE AN INFORMED DECISION TO APPROVE OR NOT APPROVE. I WAS CITED BY FINRA ON THIS ISSUE DURING THE CYCLE AUDIT. \*I HAVE LEGAL AFFIDAVITS FROM EACH CLIENT THAT ALL FEES & BENEFITS WERE DISCUSSED IN DETAIL.

I WAS INFORMED THAT THESE CITINGS SHOULD HAVE PROMPTED A COMPLIANCE MEETING THROUGH FINRA, BUT BECAUSE OF MY PAST DISCLOSURE HISTORY I WAS SANCTIONED & FINED. MY SUPERVISING PRINCIPAL WAS ALSO CITED WITH LACK OF SUPERVISION & RECEIVED THE SAME SANCTION & FINE. I BELIEVE THIS WAS PART OF AN ATTEMPT TO PUNISH MY B/D AT THAT TIME AND I GOT CAUGHT IN THE CROSSFIRE.

**Disclosure 2 of 4**

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	12/14/2006
<b>Docket/Case Number:</b>	<a href="#">2005002097001</a>
<b>Employing firm when activity occurred which led to the regulatory action:</b>	RAYMOND JAMES & ASSOCIATES, INC.
<b>Product Type:</b>	No Product
<b>Allegations:</b>	NASD RULE 2110: PARKER AFFIXED THE SIGNATURES OF CUSTOMERS TO PROPRIETARY FORMS OF HIS MEMBER FIRM TO REPLACE LOST ORIGINAL FORMS, AND PLACED THEM IN THE CUSTOMER RECORDS AS AUTHENTIC.
<b>Current Status:</b>	Final
<b>Resolution:</b>	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:** 12/14/2006

**Sanctions Ordered:** Civil and Administrative Penalty(ies)/Fine(s)  
Suspension

**Regulator Statement** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$15,000 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM JANUARY 2, 2007 THROUGH APRIL 1, 2007. FINES PAID ON OCTOBER 28, 2008.

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**Reporting Source:** Individual

**Regulatory Action Initiated By:** NASD

**Sanction(s) Sought:** Other

**Other Sanction(s) Sought:** FINE AND SUSPENSION

**Date Initiated:** 12/14/2006

**Docket/Case Number:** [2005002097001](#)

**Employing firm when activity occurred which led to the regulatory action:** RAYMOND JAMES & ASSOCIATES, INC.

**Product Type:** No Product

**Other Product Type(s):**

**Allegations:** NASD RULE 2110: PARKER AFFIXED THE SIGNATURES OF CUSTOMERS TO PROPRIETARY FORMS OF HIS MEMBER FIRM TO REPLACE LOST ORIGINAL FORMS, AND PLACED THEM IN THE CUSTOMER RECORDS AS AUTHENTIC.

**Current Status:** Final

**Resolution:** Acceptance, Waiver & Consent(AWC)

**Resolution Date:** 12/14/2006

**Sanctions Ordered:** Monetary/Fine \$15,000.00  
Suspension

**Other Sanctions Ordered:**

**Sanction Details:** WITHOUT ADMITTING OR DENYING THE FINDINGS, RESPONDENT CONSENTED TO THE DESCRIBED SANCTIONS AND TO THE ENTRY OF FINDINGS; THEREFORE, HE IS FINED \$15,000.00 AND SUSPENDED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY CAPACITY FOR THREE MONTHS. THE SUSPENSION IN ANY CAPACITY WILL BE IN EFFECT FROM JANUARY 2, 2007 THROUGH APRIL 1, 2007.



**Disclosure 3 of 4**

**Reporting Source:** Regulator  
**Regulatory Action Initiated By:** NEW JERSEY  
**Sanction(s) Sought:** Cease and Desist  
**Other Sanction(s) Sought:**  
**Date Initiated:** 12/20/2005  
**Docket/Case Number:**  
**Employing firm when activity occurred which led to the regulatory action:** RAYMOND JAMES & ASSOCIATES CRD# 705  
**Product Type:** Other  
**Other Product Type(s):**  
**Allegations:** MR. PARKER FORGED CLIENT SIGNATURES ON CERTAIN DOCUMENTS TO PREVENT THE CANCELLATION OF TAX DEFERRED ANNUITIES.  
**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:** 12/20/2005  
**Sanctions Ordered:** Cease and Desist/Injunction  
**Other Sanctions Ordered:**  
**Sanction Details:** MR. PARKER ADMITTED TO SIGNING "TAX QUALIFIED ANNUITY PURCHASE DISCLOSURE" FORMS WITH HIS CLIENTS PERMISSION.

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**Reporting Source:** Individual  
**Regulatory Action Initiated By:** NEW JERSEY DEPARTMENT OF SECURITIES  
**Sanction(s) Sought:** Cease and Desist  
**Other Sanction(s) Sought:**  
**Date Initiated:** 08/01/2005  
**Docket/Case Number:**  
**Employing firm when activity occurred which led to the regulatory action:** RAYMOND JAMES  
**Product Type:** No Product  
**Other Product Type(s):**



**Allegations:** INVESTIGATION INTO A U-5 FILED BY RAYMOND JAMES & ASSOCIATES FOR FORGERY.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 12/12/2005

**Sanctions Ordered:** Cease and Desist/Injunction

**Other Sanctions Ordered:**

**Sanction Details:** LAMONT P. PARKER IS HEREBY ORDERED BY CONSENT AND WITHOUT FURTHER HEARING, CEASE AND DESIST FROM FURTHER VIOLATIONS OF THE NEW JERSEY UNIFORM SECURITIES ACT.

**Broker Statement** NOT PROVIDED.

**Disclosure 4 of 4**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** DELAWARE SECURITIES COMMISSIONER

**Sanction(s) Sought:** Civil and Administrative Penalt(ies) /Fine(s)

**Other Sanction(s) Sought:**

**Date Initiated:** 08/06/2002

**Docket/Case Number:** CASE NO. 01-06-02

**Employing firm when activity occurred which led to the regulatory action:** MORGAN STANLEY DEAN WITTER

**Product Type:** Equity Listed (Common & Preferred Stock)

**Other Product Type(s):**

**Allegations:** CHURNING/EXERCISING DISCRETION OVER AN ACCOUNT WITHOUT WRITTEN AUTHORIZATION

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 01/22/2003

**Sanctions Ordered:** Disgorgement/Restitution  
Monetary/Fine \$10,000.00

**Other Sanctions Ordered:** RESTITUTION

**Sanction Details:** PARKER FINED IN THE AMOUNT OF \$10000.00. MORGAN STANLEY TO PAY RESTITUTION IN THE AMOUNT OF \$15735.41. & A FINE OF \$50,000 TO THE STATE OF DELAWARE.

**Regulator Statement** BEGINNING IN JUNE, 1999 THROUGH DECEMBER, 2000, PARKER EXERCISED CONTROL OVER SECURITIES TRANSACTIONS IN A CLIENT'S ACCOUNT WITH RECKLESS DISREGARD FOR THE BEST INTERESTS OF THE CLIENT.

**Reporting Source:** Individual



<b>Regulatory Action Initiated By:</b>	SECURITIES COMMISSIONER OF THE STATE OF DELAWARE
<b>Sanction(s) Sought:</b>	Disgorgement
<b>Other Sanction(s) Sought:</b>	FINED \$10000.00
<b>Date Initiated:</b>	08/06/2002
<b>Docket/Case Number:</b>	CASE# 01-06-02
<b>Employing firm when activity occurred which led to the regulatory action:</b>	MORGAN STANLEY DW, INC
<b>Product Type:</b>	Other
<b>Other Product Type(s):</b>	EQUITIES
<b>Allegations:</b>	THE COMMISSIONER ALLEGED THAT REGISRANT ENGAGED IN CHURNING OF ONE ACCOUNT AND, WITH RESPECT TO THAT ACCOUNT, EXERCISED DISCRETION WITHOUT WRITTEN AUTHORIZATION.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Settled
<b>Resolution Date:</b>	01/22/2003
<b>Sanctions Ordered:</b>	Monetary/Fine \$10,000.00
<b>Other Sanctions Ordered:</b>	N/A
<b>Sanction Details:</b>	N/A
<b>Broker Statement</b>	I DENY THAT I DID ANYTHING WRONG IN THE HANDLING OF THIS ACCOUNT. THE CLIENT WAS A SPECULATIVE AND EXPERIENCED INVESTOR. HE AUTHORIZED ALL OF THE TRANSACTIONS IN HIS ACCOUNT. I DID NOT WANT TO SETTLE BUT THE FIRM MADE A DECISION TO SETTLE FOR BUSINESS REASONS. CLIENT WAS COMPENSATED BY MORGAN STANLEY BY ORDERS OF THE STATE OF DELAWARE.



## Customer Dispute

This section provides information regarding a customer dispute that was reported to the Investment Adviser Registration Depository (IARD) by the Investment Adviser Representative (IAR), an investment adviser and/or securities firm, and/or a securities regulator. The event may include a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit that contains allegations of sales practice violations against the individual.

The customer dispute may be pending or may have resulted in a civil judgment, arbitration award, monetary settlement, closure without action, withdrawal, dismissal, denial, or other outcome.

### Disclosure 1 of 1

<b>Reporting Source:</b>	Individual
<b>Employing firm when activities occurred which led to the complaint:</b>	MORGAN STANLEY
<b>Allegations:</b>	CLIENT ALLEGED THE FA HAD CHURNED AND ACTED WITHOUT WRITTEN DISCRETION.
<b>Product Type:</b>	Equity Listed (Common & Preferred Stock)
<b>Alleged Damages:</b>	\$15,000.00

### Customer Complaint Information

<b>Date Complaint Received:</b>	01/01/1999
<b>Complaint Pending?</b>	No
<b>Status:</b>	Settled
<b>Status Date:</b>	01/20/2003
<b>Settlement Amount:</b>	\$15,000.00
<b>Individual Contribution Amount:</b>	\$0.00



## 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:** RAYMOND JAMES & ASSOCIATES, INC.  
**Termination Type:** Discharged  
**Termination Date:** 06/28/2005  
**Allegations:** FORGERY OF CLIENT SIGNATURES ON DOCUMENTS  
**Product Type:** No Product  
**Other Product Types:**

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**Reporting Source:** Individual  
**Firm Name:** RAYMOND JAMES & ASSOCIATES  
**Termination Type:** Discharged  
**Termination Date:** 06/28/2005  
**Allegations:** FORGERY OF CLIENT SIGNATURES ON DOCUMENTS  
**Product Type:** No Product  
**Other Product Types:**



## End of Report

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