



IAPD Report

THOMAS PARKIN

CRD# 2974077

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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

THOMAS PARKIN (CRD# 2974077)

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 **08/06/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	SECURITIES MANAGEMENT & RESEARCH, INC.	CRD# 759	06/03/2026
B	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	CRD# 13609	06/03/2026
IA	BFC PLANNING, INC.	CRD# 119682	06/04/2026

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** 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	WELLS FARGO ADVISORS	11025	Salt Lake City, UT	07/16/2024 - 12/18/2025
B	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	11025	ST. LOUIS, MO	05/08/2023 - 12/18/2025
IA	WELLS FARGO ADVISORS	19616	SALT LAKE CITY, UT	08/24/2021 - 12/18/2025

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
Financial	8



Report Summary



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

Employment 1 of 3

Firm Name: **SECURITIES MANAGEMENT & RESEARCH, INC.**
Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402
Firm ID#: 759

	Regulator	Registration	Status	Date
	FINRA	General Securities Principal	Approved	06/03/2026
	FINRA	General Securities Representative	Approved	06/03/2026
	FINRA	Municipal Securities Principal	Approved	06/03/2026
	FINRA	Municipal Securities Representative	Approved	06/03/2026
	FINRA	Registered Options Principal	Approved	06/03/2026
	Iowa	Agent	Approved	06/11/2026

Branch Office Locations

SECURITIES MANAGEMENT AND RESEARCH, INC.
("SM&R")
4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402

Employment 2 of 3

Firm Name: **BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.**
Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402
Firm ID#: 13609



Qualifications

Regulator	Registration	Status	Date
B FINRA	General Securities Principal	Approved	06/03/2026
B FINRA	General Securities Representative	Approved	06/03/2026
B FINRA	Municipal Securities Principal	Approved	06/03/2026
B FINRA	Municipal Securities Representative	Approved	06/03/2026
B FINRA	Registered Options Principal	Approved	06/03/2026
B Iowa	Agent	Approved	06/11/2026
B Utah	Agent	Approved	06/04/2026

Branch Office Locations

BERTHEL FISHER & COMPANY FINANCIAL SERVICES, INC.
4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402

BERTHEL FISHER & COMPANY FINANCIAL SERVICES, I
Tooele, UT

Employment 3 of 3

Firm Name: **BFC PLANNING, INC.**
Main Address: 4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402
Firm ID#: 119682

Regulator	Registration	Status	Date
IA Utah	Investment Adviser Representative	Approved	06/04/2026

Branch Office Locations

BFC PLANNING, INC.
4201 42ND STREET NE
SUITE 100
CEDAR RAPIDS, IA 52402



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

Principal/Supervisory Exams

	Exam	Category	Date
	Municipal Securities Principal Examination (S53)	Series 53	09/25/2017
	Registered Options Principal Examination (S4)	Series 4	01/13/2017
	General Securities Principal Examination (S24)	Series 24	04/29/2016

General Industry/Product Exams

	Exam	Category	Date
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Municipal Securities Representative Examination (S52)	Series 52	08/24/2017
	General Securities Representative Examination (S7)	Series 7	03/14/2016

State Securities Law Exams

	Exam	Category	Date
	 Uniform Combined State Law Examination (S66)	Series 66	04/11/2016
	 Uniform Securities Agent State Law Examination (S63)	Series 63	12/22/1997

PROFESSIONAL DESIGNATIONS

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

No information reported.

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked



and verified by the issuing organization at the time of the filing. Learn more about eligible designations at [IARD](#) and [NASAA](#).



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	07/16/2024 - 12/18/2025	WELLS FARGO ADVISORS	CRD# 11025	Salt Lake City, UT
B	05/08/2023 - 12/18/2025	WELLS FARGO ADVISORS FINANCIAL NETWORK, LLC	CRD# 11025	ST. LOUIS, MO
IA	08/24/2021 - 12/18/2025	WELLS FARGO ADVISORS	CRD# 19616	SALT LAKE CITY, UT
B	08/24/2021 - 12/18/2025	WELLS FARGO CLEARING SERVICES, LLC	CRD# 19616	ST. LOUIS, MO
IA	03/20/2019 - 09/20/2019	FBL WEALTH MANAGEMENT, LLC	CRD# 291396	West Des Moines, IA
B	03/19/2019 - 09/20/2019	FBL MARKETING SERVICES, LLC	CRD# 5309	WEST DES MOINES, IA
B	11/30/2016 - 02/25/2019	ALLEGIS INVESTMENT SERVICES, LLC	CRD# 168557	SOUTH JORDAN, UT
IA	11/30/2016 - 07/19/2018	ALLEGIS INVESTMENT ADVISORS, LLC	CRD# 157314	South jordan, UT
B	03/14/2016 - 05/18/2016	HORACE MANN INVESTORS, INC.	CRD# 11643	SPRINGFIELD, IL
B	02/15/2012 - 10/16/2012	ALPINE SECURITIES CORPORATION	CRD# 14952	SALT LAKE CITY, UT
B	11/20/2007 - 12/07/2011	ALLSTATE FINANCIAL SERVICES, LLC	CRD# 18272	MURRAY, UT
B	07/31/2007 - 01/02/2008	REGAL SECURITIES, INC.	CRD# 7297	SOUTH JORDAN, UT
IA	08/01/2007 - 12/18/2007	REGAL ADVISORY SERVICES, INC.	CRD# 123842	GLENVIEW, IL
B	05/18/2007 - 07/20/2007	BROOKSTREET SECURITIES CORPORATION	CRD# 14667	SOUTH JORDAN, UT
B	05/14/1999 - 03/13/2000	MORGAN STANLEY DEAN WITTER ONLINE INC.	CRD# 34925	SAN FRANCISCO, CA
B	12/15/1997 - 04/01/1999	FIDELITY BROKERAGE SERVICES, INC.	CRD# 7784	SMITHFIELD, RI



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

Registration Dates	Firm Name	ID#	Branch Location
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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
06/2026 - Present	BFC Planning, Inc.	Compliance Principal	Y	Tooele, UT, United States
05/2026 - Present	BERTHEL, FISHER & COMPANY FINANCIAL SERVICES, INC.	Compliance Principal	Y	Tooele, UT, United States
05/2021 - 04/2026	AEROTEK	STAFFING AGENCY	N	SALT LAKE CITY, UT, United States
08/2021 - 11/2025	WELLS FARGO CLEARING SERVICES	REGISTERED REP	Y	SALT LAKE CITY, UT, United States
08/2020 - 05/2021	Amazon	Training Ambassador	N	West Jordan, UT, United States
08/2019 - 08/2020	Unemployed	Unemployed	N	Bluffdale, UT, United States
02/2019 - 08/2019	FARM BUREAU	COMPLIANCE FIELD ADVISOR	N	WEST DES MOINES, IA, United States
02/2019 - 08/2019	FBL MARKETING SERVICES, LLC	REGISTERED REP	Y	WEST DES MOINES, IA, United States
11/2016 - 02/2019	ALLEGIS INVESTMENT SERVICES	Lead Supervisor/Head of Advertising	Y	SOUTH JORDAN, UT, United States
09/2003 - 02/2019	TICKER TAPE ENTERPRISES	OWNER-CONSULTANT-instructor	Y	HERRIMAN, UT, 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.

Federal Express- N- Magna, UT- Shipping- Package Handler- 08/2026- 85- 0- Handling packages in a shipping warehouse.



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
Financial	8

Financial

This disclosure event involves a final bankruptcy, compromise with one or more creditors, or Securities Investor Protection Corporation liquidation that occurred within the last 10 years and that involved the Investment Adviser Representative or an organization/investment adviser that the Investment Adviser Representative controlled that occurred within the last 10 years.

Disclosure 1 of 8

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	07/07/2026
Organization Investment-Related?	
Action Pending?	Yes
If a compromise with creditor, provide:	
Name of Creditor:	Synchrony Bank
Original Amount Owed:	\$2,599.45
Terms Reached with Creditor:	\$300.24 1st payment 7-25-2026 \$300.24 2nd payment 8-25-2026 \$309.33 9-25-2026 no more interest or penalty fees

Disclosure 2 of 8

Reporting Source:	Individual
Action Type:	Compromise
Action Date:	07/20/2026
Organization Investment-Related?	
Action Pending?	Yes
If a compromise with creditor, provide:	



Name of Creditor: Mercury
Original Amount Owed: \$3,112.03
Terms Reached with Creditor: \$90.76 for 12 months begin 7-20-2026 until satisfied. Account closed

Disclosure 3 of 8

Reporting Source: Individual
Action Type: Compromise
Action Date: 07/16/2026

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Taz (Sequium) - First National
Original Amount Owed: \$450.88
Terms Reached with Creditor: \$88.16 for 1st payment 7-28-2026 \$82.66 2nd payment 8-28-2026 \$82.66 3rd payment due 9-28-2026

Disclosure 4 of 8

Reporting Source: Individual
Action Type: Compromise
Action Date: 07/07/2026

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Synchrony Bank
Original Amount Owed: \$616.34
Terms Reached with Creditor: \$81.36 1st payment 8-5-2026 \$81.36 2nd payment 9-5-2026 \$83.82 3rd payment 10-6-2026 no more interest or penalty fees

Disclosure 5 of 8

Reporting Source: Individual
Action Type: Compromise
Action Date: 07/07/2026

Organization Investment-Related?



Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Merrick

Original Amount Owed: \$3,207.68

Terms Reached with Creditor: \$240.57 for 6 months begin 8-5-2026 0% interest, suspend late and monthly fees until 45% of balance is paid

Disclosure 6 of 8

Reporting Source: Individual

Action Type: Compromise

Action Date: 07/08/2026

Organization Investment-Related?

Action Pending? Yes

If a compromise with creditor, provide:

Name of Creditor: Prosper

Original Amount Owed: \$1,961.81

Terms Reached with Creditor: \$32.46 for 48 months begin 7-20-2026 APR reduced to 0%, all past interest and fees waived, account closed

Disclosure 7 of 8

Reporting Source: Individual

Action Type: Compromise

Action Date: 10/28/2023

Organization Investment-Related?

Type of Court: State Court

Name of Court: Justice Court of Utah

Location of Court: Draper Utah

Docket/Case #: 238100101

Action Pending? No

Disposition: Satisfied/Released

Disposition Date: 12/05/2023

If a compromise with creditor, provide:

Name of Creditor: Dollar Loan Center



Original Amount Owed: \$2,875.68
Terms Reached with Creditor: Paid \$2600.00 on 12/5/2023

Disclosure 8 of 8

Reporting Source: Individual
Action Type: Bankruptcy
Bankruptcy: Chapter 7
Action Date: 07/07/2020
Organization Investment-Related?
Type of Court: Federal Court
Name of Court: United States Bankruptcy Court District of Utah
Location of Court: Salt Lake City, UT
Docket/Case #: 20-24105
Action Pending? No
Disposition: Discharged
Disposition Date: 10/07/2020
Broker Statement Bankruptcy filed as part of a divorce proceeding.



End of Report

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