IAPD Report

J CHRISTOPHER PARKER

CRD# 4480847

Section Title	Page(s)

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

User Guidance

www.adviserinfo.sec.gov

Report Summary

J CHRISTOPHER PARKER (CRD# 4480847)

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 **05/15/2026**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	06/14/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **3** 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	SECURITIES AMERICA ADVISORS, INC.	110518	BEREA, OH	11/01/2013 - 06/14/2024
B	SECURITIES AMERICA, INC.	10205	BEREA, OH	11/01/2013 - 06/14/2024
IA	LPL FINANCIAL LLC	6413	BEREA, OH	02/27/2006 - 11/22/2013

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
Customer Dispute	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 **3** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **OSAIC WEALTH, INC.**

Main Address: 18700 N. HAYDEN ROAD
SUITE 255
SCOTTSDALE, AZ 85255

Firm ID#: 23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Principal	Approved	06/14/2024
B	FINRA	General Securities Representative	Approved	06/14/2024
B	New York	Agent	Approved	06/14/2024
B	Ohio	Agent	Approved	06/14/2024
IA	Ohio	Investment Adviser Representative	Approved	06/14/2024
B	Tennessee	Agent	Approved	06/14/2024

Branch Office Locations

OSAIC WEALTH, INC.
BEREA, OH

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

Principal/Supervisory Exams

	Exam	Category	Date
B	General Securities Principal Examination (S24)	Series 24	04/12/2006

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	01/28/2002

State Securities Law Exams

	Exam	Category	Date
IA	Uniform Investment Adviser Law Examination (S65)	Series 65	03/01/2011
B	Uniform Securities Agent State Law Examination (S63)	Series 63	01/31/2002

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	11/01/2013 - 06/14/2024	SECURITIES AMERICA ADVISORS, INC.	CRD# 110518	BEREA, OH
B	11/01/2013 - 06/14/2024	SECURITIES AMERICA, INC.	CRD# 10205	BEREA, OH
IA	02/27/2006 - 11/22/2013	LPL FINANCIAL LLC	CRD# 6413	BEREA, OH
B	12/14/2005 - 11/22/2013	LPL FINANCIAL LLC	CRD# 6413	BEREA, OH
B	01/29/2002 - 12/19/2005	EDWARD JONES	CRD# 250	OLMSTED FALLS, OH

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
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	BEREA, OH, United States
06/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	BEREA, OH, United States
11/2013 - Present	PARKER WEALTH MANAGEMENT	WEALTH ADVISOR	Y	BEREA, OH, United States
11/2013 - 06/2024	SECURITIES AMERICA ADVISORS, INC.	INVESTMENT ADVISOR REPRESENTATIVE	Y	BEREA, OH, United States
11/2013 - 06/2024	SECURITIES AMERICA, INC.	REGISTERED REPRESENTATIVE	Y	BEREA, OH, 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.

1. NORTHERN OHIO GOLF ASSOCIATION
POSITION: Volunteer NATURE: Local golf association. INVESTMENT RELATED: No NUMBER OF HOURS: 10 SECURITIES TRADING HOURS: 10 START DATE: 08/26/2020 ADDRESS: One Golfview Lane, North Olmsted OH 44070 DESCRIPTION: I serve as a Starter for their golf tournaments. My time requirement is, in effect, taking a portion of a day to a full a day off to serve in Northeast Ohio. There is No investment related component with this OBA. While I do receive mileage reimbursement, it's mostly a non-compensated volunteer activity. I've been serving with this organization for many years.

Registration & Employment History

OTHER BUSINESS ACTIVITIES

2. USGA/PGA TOUR
POSITION: Walking Scorer NATURE: Walking Scorer at USGA golf events and PGA Tour events. INVESTMENT RELATED: No NUMBER OF HOURS: 20 SECURITIES TRADING HOURS: 10 START DATE: 06/13/2024 ADDRESS: 77 Liberty Corner Rd, Liberty Corner NJ 07938 DESCRIPTION: I serve as a Walking Scorer (volunteer) for golf tournaments. Most of my work going forward will be at the US Open, the US Women's Open, the Senior US Open, and the US Senior Women's Open. The tournaments move around geographically every year. I also serve as a Walking Scorer with the PGA Tour when it visits Firestone CC in Akron, OH each summer. I've been serving is this role for a number of years locally with the PGA Tour and I'm starting to travel to do it serve with the USGA.

3. OLMSTED FALLS KIWANIS
POSITION: Financial Secretary NATURE: Club. INVESTMENT RELATED: No NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 0 START DATE: 10/01/2018 ADDRESS: no specific address, Olmsted Falls OH 44138 DESCRIPTION: As the Financial Secretary I will be one of four co-signers for outgoing checks. A double signature is required for all outgoing checks. The Financial Secretary is one of six officers of the Olmsted Falls Kiwanis club. The Financial Secretary's position predominately works with spreadsheets regarding the Club's finances. The FS meets with the Treasurer monthly to review the Club's books. And the FS fills in for the Treasurer occasionally, if they are out of town.
I have served as the "snow bird" part-time T and FS for several years prior to just being the FS this past fall.

4. BLUEGRASS HOMEOWNER'S ASSOCIATION
POSITION: Treasurer NATURE: Bluegrass is the Development I've lived in for 37 years now. We have a five member Board that runs the Association on a volunteer basis. In the past I've served as the Treasurer for two years, and the Chairman of the Board for five or six years. My wife has served on the Board as the Pool Chair in years past. I felt it was time to volunteer again as the Treasurer position was available. INVESTMENT RELATED: No NUMBER OF HOURS: 2 SECURITIES TRADING HOURS: 0 START DATE: 10/23/2024
ADDRESS: 439 Yearling Drive, BEREA OH 44017, United States
DESCRIPTION: As Treasurer it will be my job to monitor the finances of the Association, to collect the annual assessment from each homeowner, to use QuickBooks and Excel to run/monitor those finances. I will have check writing responsibilities: two-signers required.

5. CHRIS PARKER, INSURANCE AGENT
POSITION: Insurance sales. NATURE: Insurance. INVESTMENT RELATED: Yes NUMBER OF HOURS: 5 SECURITIES TRADING HOURS: 5 START DATE: 11/01/2013
ADDRESS: 439 Yearling Drive, Berea OH 44017, United States
DESCRIPTION: Sales of insurance products.

6. PARKER WEALTH MANAGEMENT, LLC
POSITION: Financial Tailor NATURE: LLC. INVESTMENT RELATED: Yes NUMBER OF HOURS: 100 SECURITIES TRADING HOURS: 60 START DATE: 04/01/2002
ADDRESS: 439 Yearling Drive, Berea OH 44017, United States
DESCRIPTION: I help people manage their money.

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
Customer Dispute	1

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

Reporting Source:	Individual
Employing firm when activities occurred which led to the complaint:	LPL FINANCIAL
Allegations:	CUSTOMER ALLEGES THAT REPRESENTATIVE FAILED TO FOLLOW INSTRUCTIONS AS TO VARIABLE ANNUITY SUBACCOUNT ALLOCATION ON FEBRUARY 2, 2010, FROM BOND AND MONEY MARKET SUBACCOUNT ALLOCATIONS TO WILSHIRE MODERATE AGGRESSIVE PROFILE ALLOCATION. CUSTOMER CLAIMS THAT INVESTMENTS SHOULD HAVE BEEN MADE AND REMAINED INTACT FROM FEBRUARY 2, 2010 THROUGH OCTOBER 15, 2010. REPRESENTATIVE DENIES CUSTOMER'S ALLEGATIONS, AND STATES THAT HE HAD PLACED TRADES AS INSTRUCTED ON FEBRUARY 2, 2010, BUT BECAUSE OF AUTOMATIC QUARTERLY REBALANCING FEATURE, LINCOLN LIFE RETURNED THE INVESTMENTS TO THE ORIGINAL SUBACCOUNT ALLOCATIONS TWO DAYS LATER. UPON NOTING THE ALLOCATION REVERSAL ON FEBRUARY 16, 2010, REPRESENTATIVE CONFIRMED WITH THE CUSTOMER REMAINING IN THE BOND AND MONEY MARKET SUBACCOUNT ALLOCATIONS, AND DENIES THAT THERE WAS ANY INSTRUCTION OR DIRECTION FROM THE CUSTOMER TO PLACE (OR MAINTAIN) THE CONTRACT ASSETS IN THE WILSHIRE MODERATE AGGRESSIVE PROFILE ALLOCATION FOR THE ENTIRE FEBRUARY 16, 2010 THROUGH OCTOBER 15, 2010 TIMEFRAME.
Product Type:	Annuity-Variable
Alleged Damages:	$174,423.00
Alleged Damages Amount Explanation (if amount not exact):	THIS AMOUNT IS DEPENDENT UPON CURRENTLY CHANGING MARKET VALUE, AND AT THIS TIME, IS AT A LOWER ACTUAL DIFFERENTIAL AMOUNT.

Is this an oral complaint?	No
Is this a written complaint?	Yes
Is this an arbitration/CFTC reparation or civil litigation?	No

Customer Complaint Information

Date Complaint Received:	10/18/2010
Complaint Pending?	No
Status:	Settled
Status Date:	12/14/2010
Settlement Amount:	$22,133.98
Individual Contribution Amount:	$22,133.98
Broker Statement	THIS MATTER WAS RESOLVED AS A CUSTOMER ACCOMODATION ONLY AND WITH NO ADMISSION OF LIABILITY.

End of Report

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