



IAPD Report

CAROL MARIE GRIFFIN

CRD# 4652643

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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

CAROL MARIE GRIFFIN (CRD# 4652643)

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 **12/23/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	PARSONEX SECURITIES, INC.	CRD# 144412	12/18/2007
IA	PARSONEX ADVISORY SERVICES, INC.	CRD# 160275	01/08/2021

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **21** 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	PARSONEX ADVISORY SERVICES, INC.	160275	ENGLEWOOD, CO	03/23/2017 - 12/31/2020
B	C C F INVESTMENTS, INC.	136571	GREENSBORO, GA	01/05/2006 - 07/25/2007
B	THE LEADERS GROUP, INC.	37157	SUMMIT, NJ	02/18/2005 - 12/31/2005

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

Employment 1 of 2

Firm Name: **PARSONEX ADVISORY SERVICES, INC.**

Main Address: 8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112

Firm ID#: 160275

	Regulator	Registration	Status	Date
IA	California	Investment Adviser Representative	Approved	01/08/2021
IA	Colorado	Investment Adviser Representative	Approved	01/11/2021
IA	Hawaii	Investment Adviser Representative	Approved	01/12/2022
IA	Michigan	Investment Adviser Representative	Approved	07/28/2021
IA	New Jersey	Investment Adviser Representative	Approved	12/06/2022
IA	Oklahoma	Investment Adviser Representative	Approved	12/13/2021
IA	South Dakota	Investment Adviser Representative	Approved	01/13/2021
IA	Washington	Investment Adviser Representative	Approved	10/18/2024
IA	Wisconsin	Investment Adviser Representative	Approved	08/14/2023

Branch Office Locations

PARSONEX ADVISORY SERVICES, INC.

8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112

Employment 2 of 2

Firm Name: **PARSONEX SECURITIES, INC.**



Qualifications

Main Address: 8310 S. VALLEY HIGHWAY
SUITE 110
ENGLEWOOD, CO 80112

Firm ID#: 144412

	Regulator	Registration	Status	Date
B	FINRA	Invest. Co and Variable Contracts	Approved	12/18/2007
B	Arizona	Agent	Approved	02/19/2014
B	California	Agent	Approved	11/06/2008
B	Colorado	Agent	Approved	01/18/2008
B	Florida	Agent	Approved	03/04/2021
B	Illinois	Agent	Approved	10/25/2023
B	Iowa	Agent	Approved	02/11/2008
B	Kentucky	Agent	Approved	04/30/2020
B	Maryland	Agent	Approved	01/06/2015
B	Michigan	Agent	Approved	05/14/2008
B	Nevada	Agent	Approved	06/22/2023
B	New Jersey	Agent	Approved	09/01/2017
B	New Mexico	Agent	Approved	09/27/2023
B	Ohio	Agent	Approved	08/10/2021
B	Oklahoma	Agent	Approved	04/30/2008
B	Pennsylvania	Agent	Approved	03/08/2019
B	South Dakota	Agent	Approved	06/04/2018



Qualifications

Regulator		Registration	Status	Date
B	Tennessee	Agent	Approved	04/01/2021
B	West Virginia	Agent	Approved	02/04/2020

Branch Office Locations

8310 S. Valley Highway
Suite 110
Englewood, CO 80112



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, 2 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
B Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	05/17/2003

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination (S65)	Series 65	06/14/2016
B Uniform Securities Agent State Law Examination (S63)	Series 63	06/27/2003



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	03/23/2017 - 12/31/2020	PARSONEX ADVISORY SERVICES, INC.	CRD# 160275	ENGLEWOOD, CO
B	01/05/2006 - 07/25/2007	C C F INVESTMENTS, INC.	CRD# 136571	GREENSBORO, GA
B	02/18/2005 - 12/31/2005	THE LEADERS GROUP, INC.	CRD# 37157	SUMMIT, NJ
B	05/19/2003 - 02/09/2005	PFS INVESTMENTS INC.	CRD# 10111	DULUTH, 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
03/2017 - Present	Parsonex Advisory Services	Advisor	Y	ENGLEWOOD, CO, United States
12/2007 - Present	PARSONEX SECURITIES, INC.	REGISTERED REPRESENTATIVE	Y	AURORA, CO, United States
07/2007 - 02/2021	PARSONEX INSURANCE AGENCY	CONSULTANT	N	AURORA, CO, 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.

PARSONEX ADVISORY SERVICES, INC., INVESTMENT ADVISOR REPRESENTATIVE, OFFERING INVESTMENT ADVISORY SERVICES, 40HRS/MO.

GROUP LEADER FOR A LOCAL NETWORKING GROUP, 6/6/2013 TO PRESENT, 3-4 HRS/MO.

ESATE DOCS PRO, ASSISTENTING WITH REFERRAL FOR CLINETNS LIVING TRUST NEEDS, AGENT, ON-IVESTMENT RELATED, 5HRS/MONTH, COMMISSIONS

BACK 9 INSURANCE INSURANCE AGENT, SALE OF INSURANCE PRODUCTS, NON-INVESTMENT RELATED, COMMISSION 8HRS/MO.



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
Termination	1

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: C C F INVESTMENTS, INC

Termination Type: Voluntary Resignation

Termination Date: 07/11/2007

Allegations: PARTICIPATION OR AFFILIATION WITH "OUTSIDE BUSINESS ACTIVITIES" WITHOUT THE DISCLOSURE TO, NOR APPROVAL OF, THE BROKER/DEALER. THIS IS A VIOLATION OF THE FIRMS WRITTEN PROCEDURES.

Product Type: Other

Other Product Types: PARSONEX CAPITAL MANAGEMENT INC, PARAGON LENDING SOLUTIONS, INC.

Firm Statement REMOVED - PARAGON SOLUTIONS NETWORKING INC FROM OTHER PRODUCT TYPES.

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Reporting Source: Individual

Firm Name: CCF INVESTMENTS, INC.

Termination Type: Voluntary Resignation

Termination Date: 07/11/2007

Allegations: CCF INVESTMENTS ALLEGED THAT IT WAS CONDUCTING AN INVESTIGATION ON MY POSSIBLE INVOLVEMENT IN UNDISCLOSED OUTSIDE BUSINESS ACTIVITIES. THIS IS INCORRECT, SEE COMMENTS BELOW.

Product Type: Other: PARSONEX CAPITAL MANAGEMENT, PARAGON LENDING SOLUTIONS

**Broker Statement**

THE ALLEGATIONS ARE COMPLETELY ERONNEOUS. I DISCLOSED MY OUTSIDE BUSINESS ACTIVITY OF WORKING WITH PARAGON SOLUTIONS NETWORK AND ITS' SUBSIDIARY PARAGON LENDING SOLUTIONS AS A MORTGAGE CONSULTANT TO CCF INVESTMENTS, INC. ON AUGUST 26TH, 2006 ON THE CCF INVESTMENTS, INC. REQUIRED DISCLOSURE FORM, "2006 OUTSIDE BUSINESS ACTIVITIES QUESTIONNAIRE".

I WAS INVOLVED IN NO OTHER BUSINESS ACTIVITY WHILE WORKING WITH CCF INVESTMENTS. I RESIGNED FROM CCF INVESTMENTS, INC. ON 7/11/2007 AND CONTRACTED WITH PARSONEX CAPITAL MANAGEMENT, INC. ON 7/15/2007. AFTER I SUBMITTED MY RESIGNATION LETTER ON 7/11/2007 I RECEIVED THE FIRST WRITTEN COMMUNICATION INDICATING THAT CCF INVESTMENTS HAD OPENED AN INVESTIGATION ON 7/20/2007.

CCF INVESTMENTS HAS BEEN SUPPLIED WITH THE DOCUMENTATION PROVING THAT I DISCLOSED THE REQUIRED OUTSIDE BUSINESS ACTIVITY AND THAT I DID NOT ENGAGE IN ANY OTHER ACTIVITIES WHILE REGISTERED WITH CCF INVESTMENTS.

FINRA LAUNCHED AN INVESTIGATION INTO THE ALLEGATIONS AGAINST ME ON 11/26/2007. FINRA CONCLUDED ITS INVESTIGATION ON 09/29/2008 BY WRITTEN NOTICE STATING THAT THEY HAD CLOSED THE FILE PERTAINING TO THIS MATTER. NO ADDITIONAL ACTION WAS TAKEN. CCF INVESTMENTS HAS REFUSED TO AMEND MY U-5 APPROPRIATELY.



End of Report

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