



IAPD Report

TAYLOR C PARKIN

CRD# 5310946

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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

TAYLOR C PARKIN (CRD# 5310946)

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 **10/25/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	LPL FINANCIAL LLC	CRD# 6413	11/03/2022
IA	LPL FINANCIAL LLC	CRD# 6413	11/03/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **29** 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	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SALT LAKE CITY, UT	05/21/2014 - 11/08/2022
B	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SALT LAKE CITY, UT	04/01/2014 - 11/08/2022
IA	ROYAL ALLIANCE ASSOCIATES, INC.	23131	SALT LAKE CITY, UT	04/26/2011 - 06/20/2011

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

Employment 1 of 1

Firm Name: **LPL FINANCIAL LLC**
Main Address: 1055 LPL WAY
FORT MILL, SC 29715
Firm ID#: 6413

Regulator	Registration	Status	Date
B FINRA	General Securities Representative	Approved	11/03/2022
B Alabama	Agent	Approved	11/16/2022
B Arizona	Agent	Approved	11/03/2022
B California	Agent	Approved	11/03/2022
B Colorado	Agent	Approved	11/03/2022
B District of Columbia	Agent	Approved	11/03/2022
B Florida	Agent	Approved	11/03/2022
B Georgia	Agent	Approved	11/03/2022
B Idaho	Agent	Approved	11/03/2022
B Illinois	Agent	Approved	11/03/2022
B Indiana	Agent	Approved	01/23/2024
B Iowa	Agent	Approved	01/12/2024
B Kansas	Agent	Approved	01/11/2024



Qualifications

Regulator	Registration	Status	Date
B Maine	Agent	Approved	11/03/2022
B Montana	Agent	Approved	06/06/2023
B Nevada	Agent	Approved	11/03/2022
B New Jersey	Agent	Approved	11/07/2022
B New York	Agent	Approved	11/03/2022
B North Carolina	Agent	Approved	11/18/2022
B North Dakota	Agent	Approved	01/17/2024
B Ohio	Agent	Approved	11/03/2022
B Oregon	Agent	Approved	11/03/2022
B Pennsylvania	Agent	Approved	11/03/2022
B Texas	Agent	Approved	11/03/2022
IA Texas	Investment Adviser Representative	Restricted Approval	11/03/2022
B Utah	Agent	Approved	11/03/2022
IA Utah	Investment Adviser Representative	Approved	11/04/2022
B Vermont	Agent	Approved	11/03/2022
B Virginia	Agent	Approved	11/03/2022
B Washington	Agent	Approved	11/03/2022
B Wisconsin	Agent	Approved	01/11/2024



Qualifications

Regulator	Registration	Status	Date
B Wyoming	Agent	Approved	11/07/2022

Branch Office Locations

LPL FINANCIAL LLC
257 EAST 200 SOUTH SUITE 750
SALT LAKE CITY, UT 84111



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 1 state securities law exam.

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
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 General Securities Representative Examination (S7)	Series 7	03/31/2014
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State Securities Law Exams

Exam	Category	Date
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  Uniform Combined State Law Examination (S66)	Series 66	04/25/2014
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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	05/21/2014 - 11/08/2022	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SALT LAKE CITY, UT
B	04/01/2014 - 11/08/2022	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SALT LAKE CITY, UT
IA	04/26/2011 - 06/20/2011	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SALT LAKE CITY, UT
B	04/25/2011 - 06/20/2011	ROYAL ALLIANCE ASSOCIATES, INC.	CRD# 23131	SALT LAKE CITY, UT
IA	04/23/2007 - 03/24/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SALT LAKE CITY, UT
B	04/16/2007 - 03/24/2011	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	SALT LAKE CITY, UT

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
11/2022 - Present	LPL Financial LLC	Registered Representative	Y	Salt Lake City, UT, United States
04/2014 - 11/2022	ROYAL ALLIANCE ASSOCIATES	REG REP	Y	SALT LAKE CITY, 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.

- 1) 11/2022- Axex Financial- DBA for LPL Business (entity for LPL business)- inv. related- Salt Lake City, UT
- 2) 11/2022- Axex Financial- Non-Variable Insurance- Agent selling LIFE, HEALTH, DISABILITY AND LONG TERM CARE- inv. related- Salt Lake City, UT -start date 4/26/2011- 10hrs/mth
- 3) 11/2022- Taylor Parkin Sole Proprietorship- Real Estate Rental / owner with spouse - inv. related- 1660 Three Kings Dr UT Summit County 1879 700 Salt Lake City, UT 84105 3858 Sunnyside Dr Salt Lake City, UT 84109 1127 Sunnyside Ave Salt Lake City, UT 84102- 3725 2230 Sunnyside Ave Salt Lake City, UT 84108- 1418 3005 E 4430 S Salt Lake City, UT 84124- inv. related- Salt Lake City, UT- start date 3/10/2001- 5hrs/mth



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
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 1

Reporting Source: Regulator

Regulatory Action Initiated By: FINRA

Sanction(s) Sought: Other: N/A

Date Initiated: 03/27/2013

Docket/Case Number: [2011026994101](#)

Employing firm when activity occurred which led to the regulatory action: CHASE INVESTMENT SERVICES CORP.

Product Type: No Product

Allegations: FINRA RULE 2010: ONE OF PARKIN'S CUSTOMERS HAD LINKED THEIR IN-HOUSE CHECKING ACCOUNT TO THEIR BROKERAGE ACCOUNT. THE LINK BETWEEN THE TWO ACCOUNTS WAS ACCIDENTALLY SEVERED AT A TIME WHEN THE CUSTOMER NEEDED MONEY MOVED FROM THE BROKERAGE ACCOUNT TO THE CHECKING ACCOUNT. HOWEVER, THE CUSTOMER WAS NOT AVAILABLE TO SIGN THE FORM TO RE-LINK THE TWO ACCOUNTS. THEREFORE, PARKIN AFFIXED THE CUSTOMER'S SIGNATURE TO THE FORM TO LINK THE TWO ACCOUNTS, IN ORDER TO ALLOW THE CUSTOMER TO MOVE FUNDS FROM THE BROKERAGE ACCOUNT INTO THE CHECKING ACCOUNT. ANOTHER OF PARKIN'S CUSTOMERS HAD MADE SEVERAL TRIPS INTO THE OFFICE TO SIGN FORMS RELATING TO AN ANNUITY PURCHASE. PARKIN CHANGED SOME OF THE LANGUAGE ON THE FORM EXPLAINING WHY HE HAD RECOMMENDED A PARTICULAR ANNUITY RIDER. PARKIN EXPLAINED TO THE CUSTOMER THE ADDITIONAL INFORMATION HE WAS PROVIDING RELATING TO THE RIDER. IN ORDER TO SAVE THE CUSTOMER FROM HAVING TO MAKE ANOTHER TRIP INTO THE



OFFICE TO INITIAL THE CHANGE TO THE FORM, PARKIN INITIALED THE FORM ON BEHALF OF THE CUSTOMER.

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:

03/27/2013

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:	THREE MONTHS
Start Date:	04/01/2013
End Date:	06/30/2013

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:	01/06/2014
Was any portion of penalty waived?	No

Amount Waived:

Regulator Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, PARKIN 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 THREE MONTHS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HIS SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM APRIL 1, 2013, THROUGH JUNE 30, 2013.

Reporting Source: Individual



Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/27/2013
Docket/Case Number:	2011026994101
Employing firm when activity occurred which led to the regulatory action:	CHASE INVESTMENT SERVICES CORP.
Product Type:	No Product
Allegations:	<p>FINRA RULE 2010: ONE OF PARKIN'S CUSTOMERS HAD LINKED THEIR IN-HOUSE CHECKING ACCOUNT TO THEIR BROKERAGE ACCOUNT. THE LINK BETWEEN THE TWO ACCOUNTS WAS ACCIDENTALLY SEVERED AT A TIME WHEN THE CUSTOMER NEEDED MONEY MOVED FROM THE BROKERAGE ACCOUNT TO THE CHECKING ACCOUNT. HOWEVER, THE CUSTOMER WAS NOT AVAILABLE TO SIGN THE FORM TO RE-LINK THE TWO ACCOUNTS. THEREFORE, PARKIN AFFIXED THE CUSTOMER'S SIGNATURE TO THE FORM TO LINK THE TWO ACCOUNTS, IN ORDER TO ALLOW THE CUSTOMER TO MOVE FUNDS FROM THE BROKERAGE ACCOUNT INTO THE CHECKING ACCOUNT. ANOTHER OF PARKIN'S CUSTOMERS HAD MADE SEVERAL TRIPS INTO THE OFFICE TO SIGN FORMS RELATING TO AN ANNUITY PURCHASE. PARKIN CHANGED SOME OF THE LANGUAGE ON THE FORM EXPLAINING WHY HE HAD RECOMMENDED A PARTICULAR ANNUITY RIDER. PARKIN EXPLAINED TO THE CUSTOMER THE ADDITIONAL INFORMATION HE WAS PROVIDING RELATING TO THE RIDER. IN ORDER TO SAVE THE CUSTOMER FROM HAVING TO MAKE ANOTHER TRIP INTO THE OFFICE TO INITIAL THE CHANGE TO THE FORM, PARKIN INITIALED THE FORM ON BEHALF OF THE CUSTOMER.</p>
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:	03/27/2013
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension Other: NO OTHER SANCTIONS WERE ORDERED.
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ANY CAPACITY
Duration:	THREE MONTHS
Start Date:	04/01/2013
End Date:	06/30/2013
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: 01/06/2014

Was any portion of penalty waived? No

Amount Waived:

Broker Statement

WITHOUT ADMITTING OR DENYING THE FINDINGS, PARKIN 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 THREE MONTHS. THE FINE IS DUE AND PAYABLE EITHER IMMEDIATELY UPON RE-ASSOCIATION WITH A MEMBER FIRM FOLLOWING HIS SUSPENSION OR PRIOR TO ANY APPLICATION OR REQUEST FOR RELIEF FROM ANY STATUTORY DISQUALIFICATION RESULTING FROM THIS OR ANY OTHER EVENT OR PROCEEDING, WHICHEVER IS EARLIER. THE SUSPENSION IS IN EFFECT FROM APRIL 1, 2013, THROUGH JUNE 30, 2013.



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: CHASE INVESTMENT SERVICES CORP
Termination Type: Discharged
Termination Date: 03/14/2011
Allegations: REGISTERED REP WAS TERMINATED AFTER ADMITTING TO AFFIXING BOTH INITIALS AND SIGNATURES ON CLIENTS DOCUMENTS.
Product Type: No Product

Reporting Source: Individual
Firm Name: CHASE INVESTMENTS SERVICES CORP
Termination Type: Discharged
Termination Date: 03/14/2011
Allegations: REGISTERED REP WAS TERMINATED AFTER ADMITTING TO AFFIXING BOTH INITIALS AND SIGNATURES ON CLIENTS DOCUMENTS.
Product Type: No Product



End of Report

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