



IAPD Report

Daniel Parsons

CRD# 5697469

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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

Daniel Parsons (CRD# 5697469)

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 **08/03/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	J.P. MORGAN SECURITIES LLC	CRD# 79	10/01/2012
IA	J.P. MORGAN SECURITIES LLC	CRD# 79	03/08/2018

QUALIFICATIONS

This representative is currently registered in **27** SRO(s) and **25** 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	CHASE INVESTMENT SERVICES CORP.	25574	FORT COLLINS, CO	05/18/2011 - 10/01/2012
B	FIRST INVESTORS CORPORATION	305	ROCHESTER, NY	08/20/2009 - 06/07/2010

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 **25** jurisdiction(s) and 27 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **J.P. MORGAN SECURITIES LLC**
Main Address: 270 PARK AVENUE
NEW YORK, NY 10017
Firm ID#: 79

Regulator	Registration	Status	Date
B 24X National Exchange LLC	General Securities Representative	Approved	10/31/2025
B BOX Exchange LLC	General Securities Representative	Approved	01/04/2018
B Cboe BYX Exchange, Inc.	General Securities Representative	Approved	06/18/2020
B Cboe BZX Exchange, Inc.	General Securities Representative	Approved	06/18/2020
B Cboe C2 Exchange, Inc.	General Securities Representative	Approved	01/04/2018
B Cboe EDGA Exchange, Inc.	General Securities Representative	Approved	06/18/2020
B Cboe EDGX Exchange, Inc.	General Securities Representative	Approved	06/18/2020
B Cboe Exchange, Inc.	General Securities Representative	Approved	01/04/2018
B FINRA	Invest. Co and Variable Contracts	Approved	10/01/2012
B FINRA	General Securities Representative	Approved	01/04/2018
B Investors' Exchange LLC	General Securities Representative	Approved	01/04/2018
B Long-Term Stock Exchange, Inc.	General Securities Representative	Approved	04/27/2020
B MEMX LLC	General Securities Representative	Approved	02/16/2021



Qualifications

Regulator	Registration	Status	Date
B MIAX Emerald, LLC	General Securities Representative	Approved	03/20/2019
B MIAX PEARL, LLC	General Securities Representative	Approved	06/18/2020
B MIAX Sapphire	General Securities Representative	Approved	09/23/2024
B Miami International Securities Exchange, LLC	General Securities Representative	Approved	06/18/2020
B NYSE American LLC	General Securities Representative	Approved	01/04/2018
B NYSE Arca, Inc.	General Securities Representative	Approved	01/04/2018
B NYSE National, Inc.	General Securities Representative	Approved	05/18/2018
B NYSE Texas, Inc.	General Securities Representative	Approved	01/04/2018
B Nasdaq GEMX, LLC	General Securities Representative	Approved	01/04/2018
B Nasdaq ISE, LLC	General Securities Representative	Approved	01/04/2018
B Nasdaq MRX, LLC	General Securities Representative	Approved	01/04/2018
B Nasdaq PHLX LLC	General Securities Representative	Approved	01/04/2018
B Nasdaq Stock Market	General Securities Representative	Approved	01/04/2018
B Nasdaq Texas, LLC	General Securities Representative	Approved	01/04/2018
B New York Stock Exchange	General Securities Representative	Approved	01/04/2018
B Alaska	Agent	Approved	04/03/2018
B Arizona	Agent	Approved	05/04/2017
B Arkansas	Agent	Approved	06/02/2023



Qualifications

Regulator	Registration	Status	Date
B California	Agent	Approved	10/01/2012
B Colorado	Agent	Approved	10/01/2012
IA Colorado	Investment Adviser Representative	Approved	03/08/2018
B Florida	Agent	Approved	04/13/2018
B Hawaii	Agent	Approved	01/10/2023
B Illinois	Agent	Approved	05/25/2022
B Iowa	Agent	Approved	05/23/2022
B Kansas	Agent	Approved	04/13/2018
B Massachusetts	Agent	Approved	01/07/2025
B Michigan	Agent	Approved	04/09/2018
B Nebraska	Agent	Approved	04/03/2018
B New Mexico	Agent	Approved	04/03/2018
B New York	Agent	Approved	03/23/2018
B Ohio	Agent	Approved	11/13/2024
B Oregon	Agent	Approved	07/15/2020
B South Dakota	Agent	Approved	01/27/2022
B Tennessee	Agent	Approved	03/14/2022
B Texas	Agent	Approved	06/12/2020
IA Texas	Investment Adviser Representative	Restricted Approval	06/18/2020



Qualifications

Regulator	Registration	Status	Date
B Utah	Agent	Approved	04/03/2018
B Virginia	Agent	Approved	06/09/2021
B Washington	Agent	Approved	04/03/2018
B Wisconsin	Agent	Approved	08/03/2025
B Wyoming	Agent	Approved	04/03/2018

Branch Office Locations

J.P. MORGAN SECURITIES LLC
200 E. 7TH STREET
LOVELAND, CO 80537



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
General Securities Representative Examination (S7)	Series 7	01/04/2018
Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	08/19/2009

State Securities Law Exams

Exam	Category	Date
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Uniform Combined State Law Examination (S66)	Series 66	02/28/2018
Uniform Securities Agent State Law Examination (S63)	Series 63	10/07/2009

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
B	05/18/2011 - 10/01/2012	CHASE INVESTMENT SERVICES CORP.	CRD# 25574	FORT COLLINS, CO
B	08/20/2009 - 06/07/2010	FIRST INVESTORS CORPORATION	CRD# 305	ROCHESTER, NY

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
01/2018 - Present	J.P. MORGAN SECURITIES LLC	REGISTERED REPRESENTATIVE	Y	Loveland, CO, United States
01/2018 - Present	JPMORGAN CHASE BANK, N.A.	WORKFORCE MEMBER	Y	Loveland, CO, United States
02/2011 - 01/2021	JP MORGAN CHASE BANK	PERSONAL BANKER	Y	FORT COLLINS, CO, United States
08/2016 - 02/2020	1049B TIERRA LANE, LLC.	OWNER/LANDLORD	Y	FORT COLLINS, CO, United States
10/2012 - 01/2018	J.P. MORGAN SECURITIES LLC	Mass Transfer	Y	FORT COLLINS, 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.

No information reported.



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: Firm

Employing firm when activities occurred which led to the complaint: FIRST INVESTORS CORPORATION ("FIC")

Allegations: AMONG OTHER THINGS, THE CLIENT ALLEGED THAT WHEN RECOMMENDING THAT SHE MOVE HER MONEY FROM AN ANNUITY INTO MUTUAL FUNDS, MR. PARSONS DID NOT ADVISE HER OF THE BENEFITS OF HER ANNUITY. THE COMPLAINT FURTHER ALLEGES THAT MR. PARSONS DIDNT ADVISE HER THAT SHE SHOULD NOT GIVE UP THE GUARANTEED INCOME SHE WOULD GET FROM THE ANNUITY, SINCE SHE IS CLOSE TO RETIREMENT. THE TRANSACTION AT ISSUE OCCURRED ON 4/8/10.

Product Type: Annuity-Variable
Mutual Fund

Alleged Damages: \$44,585.93

Alleged Damages Amount Explanation (if amount not exact): THE CLIENT ALLEGED THAT SHE HAD LOST OVER \$40,000. SHE CLAIMS SHE HAD 191,797.93 IN THE ANNUITY SHE PREVIOUSLY OWNED, THAT WHEN SHE MOVED THE MONEY INTO MUTUAL FUNDS THE VALUE WAS 158,670 AND AS OF HER MOST RECENT ACCOUNT STATEMENT, THE MUTUAL FUNDS VALUE WAS 147,212. THE CLIENT REQUESTS THAT SHE BE RESTORED TO THE POSITION OF 191,797.93. COMPUTING THESE FIGURES, WE CALCULATED HER ALLEGED DAMAGES CLAIM TO BE THE AMOUNT REPORTED IN QUESTION #6.

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: 08/10/2010

Complaint Pending? No

Status: Settled

Status Date: 12/21/2010

Settlement Amount: \$14,598.03

Individual Contribution Amount: \$1,797.17

Firm Statement

AFTER INVESTIGATING THE ALLEGATIONS SET FORTH IN THE COMPLAINT, FIC CONCLUDED THAT THE RECOMMENDATION WAS SUITABLE BASED ON HER INVESTMENT OBJECTIVES, HER INTENTIONS WITH RESPECT TO THE HANCOCK ANNUITY AND WHAT SHE WAS TOLD ABOUT HER ANNUITY AND ANNUITY RIDER. NEVERTHELESS, WE SENT HER A CHECK IN THE AMOUNT OF \$10,000 AS AN ACCOMMODATION. HOWEVER, THE CLIENT DECLINED THE CHECK AND AFTER FURTHER DISCUSSIONS WITH THE CLIENT, WE AGREED TO SETTLE THIS MATTER BY, AMONG OTHER THINGS, WORKING WITH HANCOCK TO REINSTATE HER HANCOCK ANNUITY.

Reporting Source: Individual

Employing firm when activities occurred which led to the complaint: FIRST INVESTORS CORPORATION

Allegations: AMONG OTHER THINGS, THE CLIENT ALLEGED THAT WHEN RECOMMENDING THAT SHE MOVE HER MONEY FROM AN ANNUITY INTO MUTUAL FUNDS, MR. MPARSONS DID NOT ADVISE HER OF THE BENEFITS OF HER ANNUITY. THE COMPLAINT FURTHER ALLEGES THAT MR. PARSONS DIDN'T ADVISE HER THAT SHE SHOULD NOT GIVE UP THE GUARANTEED INCOME SHE WOULD GET FROM THE ANNUITY, SINCE SHE IS CLOSE TO RETIREMENT. THE TRANSACTION AT ISSUE OCCURRED ON 4/8/10.

Product Type: Annuity-Variable Mutual Fund

Alleged Damages: \$44,585.93

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: 08/10/2010

Complaint Pending? No

Status: Settled

Status Date: 12/21/2010



Settlement Amount: \$14,598.03

Individual Contribution Amount: \$1,797.17

Broker Statement

AFTER INVESTIGATION THE ALLEGATIONS SET FORTH IN THE COMPLAINT, FIC CONCLUDED THAT THE RECOMMENDATION WAS SUITABLE BASED ON HER INVESTMENT OBJECTIVES, HER INTENTIONS WITH RESPECT TO THE HANCOCK ANNUITY AND WHAT SHE WAS TOLD ABOUT HER ANNUITY AND ANNUITY RIDER. NEVERTHELESS, WE SENT HER A CHECK IN THE AMOUNT OF 10K AS AN ACCOMMODATION. HOWEVER, THE CLIENT DECLINED THE CHECK AND AFTER FURTHER DISCUSSIONS WITH THE CLIENT, WE AGREED TO SETTLE THIS MATTER BY, AMONG OTHER THINGS, WORKING WITH HANCOCK TO REINSTATE HER ANNUITY I MET WITH [CUSTOMER] ON SEVERAL DIFFERENT OCCASIONS, SPENDING COUNTLESS HOURS TALKING TO HER ABOUT HER CURRENT SITUATION AND WHAT SHE WAS LOOKING TO ACCOMPLISH IN HER LAST COUPLE YEARS ON EMPLOYEMENT. I WAS ABLE TO FIND OUT THAT SHE HAD SEVERAL DIFFERENT SOURCES OF GUARENTEED INCOME THROUGH HER PENSION, SOCIAL SECURITY, AND OTHER ANNUITIES. HER INVESTMENTS WERE SPREAD OUT THROUGH DIFFERENT COMPANIES AVOIDING THE OPPORTUNITY TO TAKE ADVANTAGE OF BREAKPOINTS. SHE WAS ALSO UNAWARE THAT BY ANNUITIZING SHE WOULD LOSE THE POTENTIAL TO TAKE OUT A LARGE LUMP SOME OF CASH WITHOUT INCURRING ADDITIONAL FEES AND PENALTIES. SHE STRESSED THE FACT THAT THIS WOULD BE A PROBLEM. AFTER DISCUSSING THE OPTIONS SHE HAD WITH BOTH OF MY SENIOR MANAGERS AT FIRST INVESTORS, WE DECIDED TOGETHER THAT WE COULD PROVIDE HER WITH AN INVESTMENT THAT WOULD PROVIDE HER LOWER EXPENSES AND FEES ALONG WITH TAKING ADVANTAGE OF BREAKPOINTS. THIS WOULD PROVIDE HER WITH THE POTENTIAL FOR A GREATER RATE OF RETURN WHILE ALLOWING HER TO TAKE LARGE PORTIONS OF CASH AT ONE TIME FOR LARGE EXPENSES THAT SHE PREDICTED SHE WOULD NEED IN RETIREMENT. I EXPLAINED IN DETAIL THAT WITH MUTUAL FUNDS THE DOLLAR AMOUNT WOULD FLUCUATE ON A DAILY BASIS, AND WE ALLOCATED THE INVESTMENTS INSIDE HER PORTFOLIO ACCORDING TO HER CONSERVATIVE INVESTOR PROFILE. THE MARKET TOOK A TURN AND SHE LOST MONEY IN HER PORTFOLIO. I STRESSED BEFORE RESIGNING FROM FI THAT SHE SHOULD KEEP HER INVESTMENTS; HOWEVER I BELIEVE THAT SHE DECIDED TO TAKE ACTION BECAUSE SHE WAS UNDER THE IMPRESSION THAT I WOULD BE HER ADVISOR FOR A LONG PERIOD OF TIME. UNFORTUNETLY, I HAD A CHANGE OF PLANS AND MOVED TO COLORADO. [CUSTOMER] AND I HAD A GOOD RELATIONSHIP, THINGS JUST DID NOT WORK OUT THE WAY WE ANTICIPATED.



End of Report

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