

BEFORE THE  
STATE OF WISCONSIN  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
DIVISION OF SECURITIES

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In the Matter of  
JOHN P. PARKER

Respondent.

PETITION FOR ORDER

File No. S-04108(LX)

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The staffs of the Licensing & Compliance Section and the Enforcement Unit, Registration & Enforcement Section, of the Division of Securities, Department of Financial Institutions, State of Wisconsin have conducted an investigation in this matter pursuant to sec. 551.56, Wis. Stats. and as a result thereof allege as follows:

1. John P. Parker ("Parker") is a securities agent (CRD #2463577) with a last known business address at UBS Financial Services, Inc. 3450 Dowlen Rd, Suite A, Beaumont TX 77706;
2. On January 9, 2004, Parker applied through the CRD to become licensed as a securities agent in Wisconsin;
3. On January 9, 2004, the staff sent a letter to Parkers's firm explaining that we needed a complete statement from the applicant on the details for all charges and/or actions involving the applicant reported on the CRD by January 30, 2004 or the staff would ask the Administrator to deny his application;
4. On February 9, 2004, the staff sent the firm another letter and asked for the information by February 23, 2004;
5. On March 9, 2004, the staff sent a letter by certified mail again asking the firm to provide the information or withdraw his application by March 16, 2004;
6. To date, the staff has not received any additional information;
7. The failure of Parker to complete his application, as described above, provides a basis, pursuant to sec. 551.34(1)(a), Wis. Stats for the denial of his license application.

THEREFORE, the staffs of the Licensing & Compliance Section and the Enforcement Unit petition the Administrator for the issuance of the attached Order.

DATED this 21<sup>st</sup> day of April, 2004.

  
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David A. Cohen  
Supervising Attorney  
Bureau of Registration & Enforcement

  
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Nancy R. Jackson  
Examiner  
Bureau of Licensing & Compliance