

BrokerCheck Report

WALTER WARREN PARKER

CRD# 2131232

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	4 - 5
Disclosure Events	6

About BrokerCheck®

BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.

- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:

- o information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
- o information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit www.finra.org.

WALTER W. PARKER

CRD# 2131232

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

TITAN SECURITIES

CRD# 131392
Rowlett, TX
08/2006 - 03/2018

ING FINANCIAL PARTNERS, INC.

CRD# 2882
WYLIE, TX
01/2004 - 12/2005

LOCUST STREET SECURITIES, INC.

CRD# 1703
DES MOINES, IA
01/2002 - 01/2004

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Investigation	1
Customer Dispute	7

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>



Broker Qualifications

Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received 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
General Securities Principal Examination	Series 24	02/12/2001

General Industry/Product Exams

Exam	Category	Date
Investment Company Products/Variable Contracts Representative Examination	Series 6	03/08/1991
General Securities Representative Examination	Series 7	03/08/1993

State Securities Law Exams

Exam	Category	Date
Uniform Securities Agent State Law Examination	Series 63	03/08/1991
Uniform Investment Adviser Law Examination	Series 65	02/02/1995

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
08/2006 - 03/2018	TITAN SECURITIES	131392	Rowlett, TX
01/2004 - 12/2005	ING FINANCIAL PARTNERS, INC.	2882	WYLIE, TX
01/2002 - 01/2004	LOCUST STREET SECURITIES, INC.	1703	DES MOINES, IA
12/2000 - 01/2002	BMA FINANCIAL SERVICES, INC.	7943	KANSAS CITY, MO
02/1993 - 01/2001	FORTIS INVESTORS, INC.	421	OAKDALE, MN
03/1991 - 03/1993	H.D. VEST INVESTMENT SECURITIES, INC.	13686	IRVING, TX

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment Dates	Employer Name	Employer Location
08/2006 - Present	TITAN SECURITIES	DALLAS, TX
06/1983 - Present	SELF EMPLOYED - INDEPENDENT INS. AGENT	DALLAS, TX

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

INVESTINGMAKESMESICK.COM AT 6702 DALROCK ROAD, #136, ROWLETT, TX 75089. INVESTING MAKES ME SICK IS A DBA NAME FOR SECURITIES. ALL SECURITIES TRANSACTIONS GO THROUGH TITAN SECURITIES. I AM THE CEO EFFECTIVE IN 1997. MY PRIMARY DUTY RELATING TO THIS IS MARKETING. INVESTING MAKES ME SICK IS A SOLE PROPRIETORSHIP //// DBA IMMA will be transitioning (name only) to DBA Freedom Wealth Strategies over next 24 months.

EVOLUTION GENERAL PARTNER. SILENT. RAISE CAPITAL TO INVEST IN COMMERCIAL REAL ESTATE. //// EVOLUTION REAL ESTATE LLC, & EVOLUTION REAL ESTATE II, LLC . SILENT GENERAL PARTNER. RAISE

Registration and Employment History



Other Business Activities, continued

CAPITAL TO PURCHASE COMMERCIAL REAL ESTATE.



Disclosure Events

What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - o A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - o A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
 - o
3. **Disclosure events in BrokerCheck reports come from different sources:**
 - o As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
 - o
4. **There are different statuses and dispositions for disclosure events:**
 - o A disclosure event may have a status of *pending, on appeal, or final*.
 - § A "pending" event involves allegations that have not been proven or formally adjudicated.
 - § An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - § A "final" event has been concluded and its resolution is not subject to change.
 - o A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - § A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Customer Dispute	2	5	N/A



Investigation	1	N/A	N/A
---------------	---	-----	-----



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Customer Dispute - Settled

This type of disclosure event involves a consumer-initiated, investment-related complaint, arbitration proceeding or civil suit containing allegations of sale practice violations against the broker that resulted in a monetary settlement to the customer.

Disclosure 1 of 4

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Titan Securities
Allegations:	Unsuitable product, client states that he did not understand that the product was illiquid.
Product Type:	Other: REIT
Alleged Damages:	\$37,119.00
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:	05/25/2017
Complaint Pending?	No
Status:	Settled
Status Date:	06/08/2017
Settlement Amount:	\$37,119.00



Individual Contribution Amount: \$37,119.00

Disclosure 2 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Titan Securities

Allegations: Unsuitable product, client states that he did not understand inherent risks and that the product was illiquid.

Product Type: Other: UDF

Alleged Damages: \$0.00

Alleged Damages Amount Explanation (if amount not exact): No amount was given

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-02349

Filing date of arbitration/CFTC reparation or civil litigation: 08/12/2016

Customer Complaint Information

Date Complaint Received: 08/12/2016

Complaint Pending? No

Status: Settled

Status Date: 06/09/2017

Settlement Amount: \$70,000.00



Individual Contribution Amount: \$35,000.00

Disclosure 3 of 4

Reporting Source: Broker

Employing firm when activities occurred which led to the complaint: Titan Securities

Allegations: Unsuitable product, client states that he did not understand inherent risks and that the product was illiquid.

Product Type: Other: UDF

Alleged Damages: \$50,000.00

Is this an oral complaint? No

Is this a written complaint? Yes

Is this an arbitration/CFTC reparation or civil litigation? Yes

Arbitration/Reparation forum or court name and location: FINRA

Docket/Case #: 16-01929

Filing date of arbitration/CFTC reparation or civil litigation: 07/08/2016

Customer Complaint Information

Date Complaint Received: 07/08/2016

Complaint Pending? No

Status: Settled

Status Date: 03/13/2017

Settlement Amount: \$16,500.00

Individual Contribution Amount: \$8,250.00

Disclosure 4 of 4



Reporting Source: Broker
Employing firm when activities occurred which led to the complaint: Titan Securities
Allegations: Unsuitable Investment / Misrepresentation of Investment
Product Type: Viatical Settlement
Alleged Damages: \$211,974.64

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA
Docket/Case #: 15-02351
Date Notice/Process Served: 11/02/2015
Arbitration Pending? No
Disposition: Settled
Disposition Date: 10/16/2017
Monetary Compensation Amount: \$60,000.00
Individual Contribution Amount: \$30,000.00



Customer Dispute - Closed-No Action / Withdrawn / Dismissed / Denied

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 1

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	TITAN SECURITIES
Allegations:	IN APX MAY,2010 CLIENT ALLEGES THAT PARKER RECOMMENDED THEY INVEST IN LIFE SETTLEMENTS AND A REIT THAT WERE NOT SUITABLE.
Product Type:	Real Estate Security Other: SENIOR LIFE SETTLEMENT
Alleged Damages:	\$200,000.00
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:	08/31/2012
Complaint Pending?	No
Status:	Closed/No Action
Status Date:	12/17/2015
Settlement Amount:	
Individual Contribution Amount:	
Broker Statement	TITAN RESPONDED WITH A DENIAL LETTER ON 9/19/2012 AND HAVE NOT HEARD ANYTHING FROM THE CLIENT OR THEIR ATTORNEY



Customer Dispute - Pending

This type of disclosure event involves (1) a pending consumer-initiated, investment-related arbitration or civil suit that contains allegations of sales practice violations against the broker; or (2) a pending, consumer-initiated, investment-related written complaint containing allegations that the broker engaged in, sales practice violations resulting in compensatory damages of at least \$5,000, forgery, theft, or misappropriation, or conversion of funds or securities.

Disclosure 1 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Titan Securities
Allegations:	Claims both UDF & ARC NYC investments were unsuitable for client. UDF IV purchased 7/18/2011 (states UDF was unsuitable for any investor and not individualized.) ARC NYC purchased 6/5/2014. States this investment is now irredeemable.
Product Type:	Direct Investment-DPP & LP Interests
Alleged Damages:	\$54,328.54
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:	11/15/2017
Complaint Pending?	Yes
Settlement Amount:	
Individual Contribution Amount:	

Disclosure 2 of 2

Reporting Source:	Broker
Employing firm when activities occurred which led to the complaint:	Titan Securities
Allegations:	Suitability



Product Type: Equity-OTC
Alleged Damages: \$300,000.00

Arbitration Information

Arbitration/CFTC reparation claim filed with (FINRA, AAA, CFTC, etc.): FINRA

Docket/Case #: 17-02747

Date Notice/Process Served: 10/11/2017

Arbitration Pending? Yes



Investigation

This type of disclosure event involves any ongoing formal investigation by an entity such as a grand jury state or federal agency, self-regulatory organization or foreign regulatory authority. Subpoenas, preliminary or routine regulatory inquiries, and general requests by a regulatory entity for information are not considered investigations and therefore are not included in a BrokerCheck report.

Disclosure 1 of 1

Reporting Source:	Broker
Initiated By:	FINRA
Notice Date:	11/15/2017
Details:	Rule 2310 Direct Participation Programs & 2111 Suitability Investigation #20160504921
Is Investigation pending?	Yes

End of Report



This page is intentionally left blank.