

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

In the Matter of
JOHN P. PARKER

Respondent.

PETITION FOR ORDER

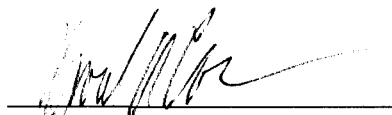
File No. S-04108(LX)

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:

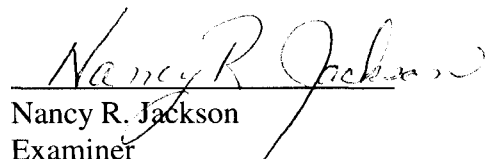
1. John P. Parker ("Parker") is a securities agent (CRD #2463577) with a last known business address at UBS Financial Services, Inc. 3450 Dowlen Rd, Suite A, Beaumont TX 77706;
2. On January 9, 2004, Parker applied through the CRD to become licensed as a securities agent in Wisconsin;
3. On January 9, 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 21st day of April, 2004.



David A. Cohen
Supervising Attorney
Bureau of Registration & Enforcement



Nancy R. Jackson
Examiner
Bureau of Licensing & Compliance

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

In the Matter of
JOHN P. PARKER

ORDER OF DENIAL OF
SECURITIES AGENT LICENSE
APPLICATION
(SUMMARY)

Respondent.

File No. S-04108(LX)

Based upon the attached Petition for Order I find that this action is necessary and appropriate in the public interest and for the protection of investors;

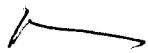
Therefore, pursuant to secs. 551.34 and 551.63, Wis. Stats.,

IT IS ORDERED THAT:

The securities agent license application of John P. Parker (CRD #2463577) is hereby denied.

EXECUTED at Madison, Wisconsin, this 3d day of May, 2004.

(SEAL)



Patricia D. Struck
Administrator
Division of Securities

NOTICE:

Under sec. 551.61(2), Wis. Stats., within thirty (30) days after any Order has become effective without a hearing, any interested party may file a written request with the Administrator of the Division of Securities for a hearing in respect to any matters determined by the Order. A request for hearing shall be in the form of a petition for hearing and shall, under section SEC 8.01, Wis. Adm. Code, plainly admit or deny each specific allegation, finding, or conclusion in the Order and incorporated papers (unless the petitioner lacks sufficient knowledge or information to permit an admission or denial, in which case the petition shall so state, and such statement shall have the effect of a denial), and shall state all affirmative defenses.

You are advised that any wilful violation of an Order issued by the Administrator of the Division of Securities of the State of Wisconsin Department of Financial Institutions under Ch. 551, Wis. Stats., is a criminal offense punishable under the provisions of sec. 551.58, Wis. Stats.