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**STATE OF WASHINGTON  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
SECURITIES DIVISION**

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IN THE MATTER OF DETERMINING  
Whether there has been a violation  
of the Securities Act of Washington by:

Donna Jean Parker,  
  
Respondent.

S-07-230-08-TO01

SUMMARY ORDER SUSPENDING  
SECURITIES SALESPERSON AND  
INVESTMENT ADVISER REPRESENTATIVE  
REGISTRATION AND NOTICE OF INTENT  
TO REVOKE REGISTRATION

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THE STATE OF WASHINGTON TO:

Donna Jean Parker

**STATEMENT OF CHARGES**

Please take notice that the Securities Administrator of the State of Washington has reason to believe that Respondent, Donna Jean Parker, has engaged in dishonest and unethical practices in the securities business while employed as a registered securities salesperson and investment adviser representative for Merrill Lynch, Pierce, Fenner & Smith Incorporated, and that those practices justify the suspension and/or revocation of Respondent's registration pursuant to RCW 21.20.110(1)(g).

The Securities Administrator finds that delay in suspending and/or revoking Respondent's securities salesperson and investment adviser representative registration would be hazardous to the public interest and is necessary or appropriate for the protection of investors and that a Summary Order should be entered immediately. The Securities Administrator finds as follows:

SUMMARY ORDER SUSPENDING  
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DEPARTMENT OF FINANCIAL INSTITUTIONS  
Securities Division  
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Olympia, WA 98507-9033  
360-902-8760

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## TENTATIVE FINDINGS OF FACT

### Respondent

1. Donna Jean Parker (“Parker”) is an individual with a last known address in Lakewood, Washington. Parker was employed by Merrill Lynch, Pierce, Fenner & Smith Incorporated (“Merrill Lynch”) at their Tacoma, Washington office from September 5, 2000 until her termination on March 26, 2007. Prior to this, Parker was employed by other broker-dealers including Financial Network Investment Corporation from October 27, 1998 to August 31, 2000 and Transamerica Financial Resources, Inc. from February 16, 1993 to September 14, 1998. Parker has been registered as a securities salesperson with the Washington State Securities Division from February 26, 1993 to September 30, 1998, and from November 3, 1998 to present. Parker also has been registered as an investment adviser representative with the Washington State Securities Division from January 26, 2001 to present.

### Nature of the Conduct

2. On or about March 22, 2007, while employed at Merrill Lynch, Parker forged a customer’s signature on a wire transfer authorization. The authorization directed that \$20,000 be transferred from the customer’s account into an account at Columbia Bank held in the name of Parker’s daughter and grandson.

3. Merrill Lynch terminated Parker’s employment on March 26, 2007 for forging signatures of employees at the firm. Subsequent to her termination, on or about March 28, 2007, Merrill Lynch became aware of Parker’s misappropriation of customer funds when the customer contacted Merrill Lynch and indicated that a \$20,000 debit had occurred in her account without her authorization.

1 4. On or about March 29, 2007, Merrill Lynch recovered \$19,982.92 from the Columbia Bank  
2 account held in the name of Parker's daughter and grandson. On or about March 30, 2007, Merrill  
3 Lynch credited the customer's account in the amount of \$20,000.  
4

### 5 **EMERGENCY**

6 5. The Securities Administrator finds that an emergency exists because Respondent knowingly  
7 and intentionally engaged in unethical practices by forging signatures of employees at Merrill Lynch,  
8 forging the signature of a customer, converting customer funds, and executing a transaction on behalf of  
9 a customer without authorization to do so, and that such conduct presents an immediate danger to the  
10 safety and welfare of the investing public.  
11

12 Based upon the above Tentative Findings of Fact, the following Conclusions of Law are made:  
13

### 14 **CONCLUSIONS OF LAW**

15 6. Parker, as described above, engaged in one or more dishonest or unethical practices in the  
16 securities business, as defined by WAC 460-22B-090(8), by executing a transaction on behalf of a  
17 customer without authorization to do so. Such practice is an independent ground for the suspension or  
18 revocation of her securities salesperson and investment adviser representative registration pursuant to  
19 RCW 21.20.110(1)(g).  
20

21 7. Parker, as described above, engaged in one or more dishonest or unethical practices in the  
22 securities business, as defined by WAC 460-22B-090, by engaging in the forgery of signatures of Merrill  
23

1 Lynch employees, forging the signature of a customer, and embezzling customer funds. Such practices  
2 are an independent ground for the suspension or revocation of her securities salesperson and investment  
3 adviser representative registration pursuant to RCW 21.20.110(1)(g).  
4

### 5 **SUMMARY ORDER**

6 Based upon the foregoing,

7 NOW, THEREFORE, IT IS HEREBY SUMMARILY ORDERED that the securities salesperson  
8 and investment adviser representative registration of Donna Jean Parker, be, and hereby is, summarily  
9 suspended pending a final determination in this proceeding.  
10

### 11 **NOTICE OF INTENT TO REVOKE REGISTRATION**

12 Pursuant to RCW 21.20.110(1), and based upon the above Tentative Findings of Fact and  
13 Conclusions of Law, the Securities Administrator intends to order that the securities salesperson and  
14 investment adviser representative registration of the Respondent be revoked.  
15

### 16 **AUTHORITY AND PROCEDURE**

17 This Summary Order is entered pursuant to the provisions of RCW 21.20.110 and is subject to the  
18 provisions of RCW 21.20.120 and RCW 34.05. The Respondent, Donna Jean Parker, may make a  
19 written request for a hearing as set forth in the NOTICE OF OPPORTUNITY TO DEFEND AND  
20 OPPORTUNITY FOR HEARING accompanying this order. If Donna Jean Parker does not request a  
21 hearing in this matter, the Securities Administrator intends to adopt the foregoing Tentative Findings of  
22  
23

24 SUMMARY ORDER SUSPENDING  
25 SECURITIES SALESPERSON AND  
26 INVESTMENT ADVISER REPRESENTATIVE  
27 REGISTRATION AND NOTICE OF INTENT  
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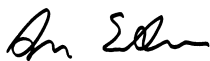
1 Fact and Conclusions of Law as final, and as described above in the Notice of Intent to Revoke  
2 Registration, enter an order revoking Respondent's registration.

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5 DATED AND ENTERED this 1st day of February, 2008.

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MICHAEL E. STEVENSON  
Securities Administrator

9 Approved by:

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11 \_\_\_\_\_  
12 Suzanne Sarason  
13 Chief of Compliance & Examinations

Presented by:

14 

15 \_\_\_\_\_  
16 Bridgett Fisher  
17 Enforcement Attorney