



State Securities Board

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SSB Docket No. 99-014

IN THE MATTER OF THE
AGENT REGISTRATION OF
KATHLEEN CLAIRE MILLS

§
§
§

Order No. CAF-1343

TO: Kathleen Claire Mills (CRD# 3059181)
7946 E. Mexico Avenue
Denver, CO 80231

DISCIPLINARY ORDER REPRIMANDING AN AGENT

Be it remembered that Kathleen Claire Mills ("Respondent") appeared before the Securities Commissioner of the State of Texas ("Securities Commissioner") and consented to the entry of this Order and the Findings of Fact and the Conclusions of Law contained herein.

FINDINGS OF FACT

1. Respondent has waived (a) Respondent's right to notice and hearing in this matter; (b) Respondent's right to appear and present evidence in this matter; (c) Respondent's right to appeal this Order; and (d) all other procedural rights granted to Respondent by The Securities Act, TEX. REV. CIV. STAT. ANN. art. 581-1 *et seq.* (Vernon 1964 & Supp. 1999) ("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOV'T CODE ANN. § 2001.001 *et seq.* (Vernon Supp. 1999) ("Administrative Procedure Act").
2. Respondent was charged with misdemeanor theft on or about January 31, 1974. No records are available regarding the disposition of this charge. Respondent has represented to the Commissioner that the charge was dismissed.
3. The Form U-4 application for registration requires applicants to disclose any misdemeanor charge involving theft.
4. Respondent has been registered with the Securities Commissioner as an agent of Janus Distributors, Inc. since on or about July 13, 1998. While applying for registration with Janus Distributors, Inc., Respondent failed to disclose the misdemeanor charge on her Form U-4 application for registration as required by

that form. On or about October 5, 1998, Respondent filed an amended Form U-4 with the Securities Commissioner to disclose the criminal charge.

5. Pursuant to § 101.2(c) of the Rules and Regulations of the State Securities Board ("Board Rules") certain forms required to be filed with the Securities Commissioner, including Form U-4, have been adopted as Board Rules.

CONCLUSIONS OF LAW

1. A failure to disclose information required by Form U-4 constitutes a violation of a Board Rule.
2. The foregoing rule violation constitutes a violation of Sections 14.A(6) and 14.A(7) of the Texas Securities Act, which are bases for the issuance of an order reprimanding an agent.
3. Pursuant to Section 23-1 of the Texas Securities Act, the foregoing violations of the Texas Securities Act and Board Rules constitute bases for the issuance of an order assessing an administrative fine against an agent.

ORDER

1. It is therefore ORDERED that Respondent is hereby REPRIMANDED;
2. It is further ORDERED that Respondent is ASSESSED AN ADMINISTRATIVE FINE in the amount of Two Hundred Fifty Dollars (\$250.00). Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of Two Hundred Fifty Dollars (\$250.00), payable to the State of Texas, contemporaneously with the delivery of this Order.

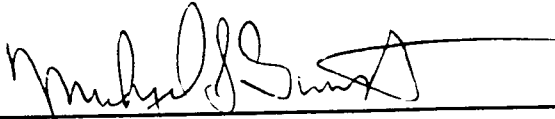
SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 22nd day of February, 1999.

Denise Voigt Crawford
DENISE VOIGT CRAWFORD
Securities Commissioner

Respondent:
Kathleen Claire Mills

Kathleen Claire Mills
SIGNED IN MY PRESENCE THIS
22nd DAY OF FEB, 1999

Approved as to Form:



Michael S. Gunst, Director
Dealer Registration Division

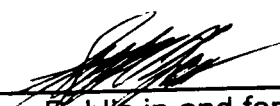


Charles S. Neal, Attorney
Enforcement Division

ACKNOWLEDGMENT

On the 12th day of FEBRUARY, 1999, Kathleen Claire Mills, Respondent, personally appeared before me, executed the foregoing Order, and acknowledged that:

1. Respondent has read the foregoing Order;
2. Respondent has been fully advised of Respondent's rights under the Texas Securities Act and the Administrative Procedure Act;
3. Respondent knowingly and voluntarily consents to the entry of the foregoing Order and the Findings of Fact and Conclusions of Law contained therein; and,
4. Respondent, by consenting to the entry of the foregoing Order, has knowingly and voluntarily waived Respondent's rights as set forth therein.



Notary Public in and for
the State of COLORADO

[affix notary seal here]

My commission expires on:

My Commission Expires
06/27/2000