

DENISE VOIGT CRAWFORD  
SECURITIES COMMISSIONER



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DEPUTY SECURITIES COMMISSIONER

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## State Securities Board

MAIL: P.O. BOX 13167  
AUSTIN, TEXAS 78711-3167

208 E. 10th Street, 5th Floor  
Austin, Texas 78701  
Phone (512) 305-8300  
FAX (512) 305-8310  
<http://www.ssb.state.tx.us>

KENNETH W. ANDERSON, JR.  
MEMBER

SSB Docket No. 00-26

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IN THE MATTER OF THE APPLICATION  
FOR AGENT REGISTRATION OF  
TODD A. HARMON

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§  
§

Order No. CAF-1407

TO: Todd A. Harmon (CRD # 2227099)  
596 Valleyview Drive  
Canyon, Texas 79015

### DISCIPLINARY ORDER REPRIMANDING AN AGENT

Be it remembered that Todd A. Harmon ("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. 2000) ("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOV'T CODE ANN. § 2001.001 et seq. (Vernon Supp. 2000) ("Administrative Procedure Act").
2. Respondent was charged with one count of Theft of Property or Services, a Class A Misdemeanor, and one count of Issuance of a Bad Check, a Class C Misdemeanor, on or about July 16, 1997. Respondent entered a plea bargain wherein Respondent pled guilty to the charge of Issuance of a Bad Check and paid a \$50.00 fine on January 29, 1998.
3. The Form U-4 application for registration requires applicants to disclose any misdemeanor charges involving wrongful taking of property.

4. Respondent was registered with the Securities Commissioner as an agent of Sunamerica Securities, Inc. from on or about January 30, 1997 to September 15, 1998. During that time, Respondent failed to amend his Form U-4 to reflect the charge.
5. Respondent has been registered with the Securities Commissioner as an agent of United Planners' Financial Services of America A Limited Partnership, from on or about October 22, 1998 to present. While applying for registration with United Planners' Financial Services of America A Limited Partnership, Respondent failed to disclose the misdemeanor charges on his initial Form U-4 application for registration as required. Respondent subsequently amended the U-4 Form to disclose the charge on or about September 25, 2000.
6. Pursuant to Section 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.

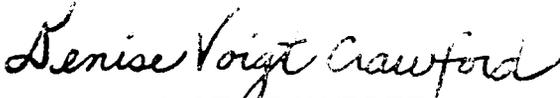
#### CONCLUSIONS OF LAW

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.

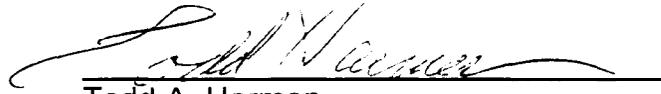
#### ORDER

1. It is further ORDERED that the Respondent is hereby REPRIMANDED;
2. It is further ORDERED that Respondent is ASSESSED AN ADMINISTRATIVE FINE in the amount of Five Hundred Dollars (\$500.00. Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of Five Hundred Dollars (\$500.00), payable to the State of Texas, contemporaneously with the delivery of this Order.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 2nd day of November, 2000.

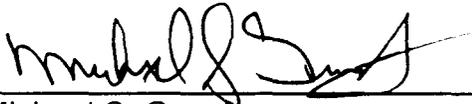
  
DENISE VOIGT CRAWFORD  
Securities Commissioner

Respondent:



Todd A. Harmon

Approved as to Form:



Michael S. Gunst  
Director  
Dealer Registration Division

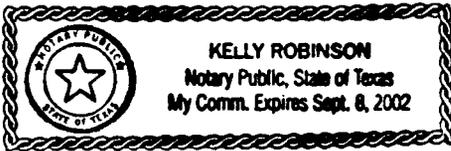


David Grauer  
Director  
Enforcement Division

**ACKNOWLEDGMENT**

On the 30 day of October, 2000, Todd A. Harmon, 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 his 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 his rights as set forth therein.



[affix notary seal here]

Kelly Robinson  
Notary Public in and for  
the State of TEXAS

My commission expires on: 9/8/2002