

DENISE VOIGT CRAWFORD
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. 01-10

IN THE MATTER OF THE
AGENT REGISTRATION OF
LLOYD DAVID O'CONNOR

§
§
§

ORDER NO. CAF-1423

TO: Mr. Lloyd David O'Connor (CRD # 4243397)
The Tidal Group, Inc. (CRD # 39782)
6807 Avila
San Antonio, TX 78239

DISCIPLINARY ORDER REPRIMANDING AN AGENT AND UNDERTAKING

Be it remembered that Lloyd David O'Connor ("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 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.2001) ("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOV'T CODE ANN. §2001.001 et seq. (Vernon Supp. 2001) ("Administrative Procedure Act").
2. Respondent is currently registered with the Securities Commissioner as an agent of The Tidal Group, Inc.
3. Respondent has offered for sale and sold securities in the form of working interests in oil and gas programs on behalf of Jasmine, Inc.
4. Neither Respondent nor Jasmine, Inc. were registered with the Securities Commissioner, at the time that Respondent sold securities issued by Jasmine, Inc., as required by Section 12 of the Texas Securities Act.

5. Respondent has cooperated with the Enforcement Division in its investigation of Jasmine, Inc.

UNDERTAKING

1. Respondent hereby agrees to cooperate with any investigation by the Enforcement Division of the State Securities Board or other law enforcement agencies relating to his prior employers including but not limited to providing information or documents and testifying in any civil, administrative or criminal proceeding brought by this Agency or any other law enforcement entity or self regulatory organization.
2. Respondent hereby agrees not to engage in any securities activity without being properly registered with the Securities Commissioner as required by Section 12 of the Texas Securities Act. In the event Respondent believes such activity is exempt from registration under Section 5 of the Texas Securities Act, he will not engage in such activity without first notifying the Director of Enforcement of the State Securities Board.
3. Respondent agrees not to engage in any outside business activity without receiving written approval from his broker-dealer.

CONCLUSIONS OF LAW

1. Pursuant to Section 14.A(6) of the Texas Securities Act, the foregoing violations constitute a basis for the issuance of an order reprimanding an agent.
2. Pursuant to Section 23-1 of the Texas Securities Act, the foregoing violations constitute a basis for the issuance of an order assessing an administrative fine against an agent.

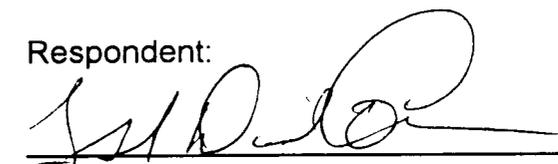
ORDER

1. It is therefore ORDERED that Lloyd David O'Connor is hereby REPRIMANDED.
2. It is further ORDERED that Lloyd David O'Connor is hereby 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 20th day
of April, 2001


DENISE VOIGT CRAWFORD
Securities Commissioner

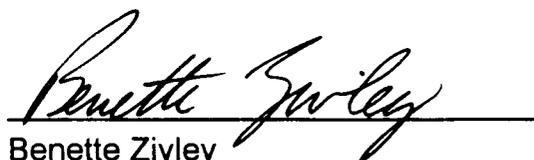
Respondent:


Lloyd David O'Connor

Approved as to Form:


Michael S. Gunst
Director
Dealer Registration Division

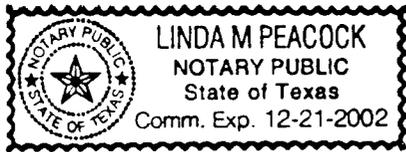

David Grauer
Director
Enforcement Division


Benette Zivley
Attorney
Enforcement Division

ACKNOWLEDGMENT

On the 16TH day of APRIL, 2001, Lloyd David O'Connor ("Respondent"), 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 herein; and,
4. Respondent, by consenting to the entry of the foregoing Order, has knowingly and voluntarily waived his rights as set forth herein.



[affix notary seal here]

A handwritten signature in cursive script, appearing to read "Linda M Peacock".

Notary Public in and for
the State of TEXAS

My commission expires on: 12-21-2002