

DENISE VOIGT CRAWFORD  
SECURITIES COMMISSIONER

DON A. RASCHKE  
DEPUTY SECURITIES COMMISSIONER

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

Phone: (512) 305-8300  
Facsimile: (512) 305-8310



## Texas State Securities Board

208 E. 10th Street, 5th Floor  
Austin, Texas 78701-2407  
www.ssb.state.tx.us

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IN THE MATTER OF §  
THE DEALER AND §  
INVESTMENT ADVISER REGISTRATION OF §  
HUCKIN FINANCIAL GROUP, INC. §

**Order No. IC06-CAF-42**

TO: David L. Huckin, President  
Huckin Financial Group, Inc. (CRD 8593)  
3700 Buffalo Speedway, Suite 950  
Houston, TX 77098

### DISCIPLINARY ORDER

Be it remembered that Huckin Financial Group, Inc. ("Respondent"), by and through David L. Huckin its President, appeared before the Securities Commissioner of the State of Texas ("Securities Commissioner") and consented to the entry of this order ("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. 2006) ("Texas Securities Act") and the Administrative Procedure Act, TEX. GOV'T CODE ANN. § 2001.001 et seq. (Vernon 2000 & Supp. 2006) ("Administrative Procedure Act").
2. On or about January 1, 1983, Respondent registered with the Securities Commissioner as a securities dealer rendering services as an investment adviser.
3. On or about January 1, 2002, Respondent transitioned onto the electronic filing system maintained by the NASD and registered with the Securities Commissioner as a dealer and as an investment adviser, which are currently effective.
4. Pursuant to §115.1(a)(2) and §116.1(a)(2) of the Rules and Regulations of the Texas State Securities Board ("Board Rules") as in effect from August 12, 2001 to January 7, 2006, "Branch Office" was defined to include each office in Texas in which records are maintained.

5. Pursuant to §115.1(b)(1)(B) and §116.1(b)(1)(B) of the Board Rules as in effect from August 12, 2001 to January 7, 2006, each Texas branch office of a registered dealer and of a registered investment adviser must be registered. Pursuant to §115.2(c) and §116.2(c) of the Board Rules, no sales-related activity and no investment advisory activity may occur in any branch office location until such time as the dealer or investment adviser receives notification from the Securities Commissioner that such location has been approved as a branch office.
6. On or about September 7, 2005, the staff of the Texas State Securities Board ("Staff") performed an inspection of Respondent. During the inspection, Staff discovered that Respondent maintained dealer and investment adviser records at 1758 Creekside Drive, Sugarland, Texas and at 1880 White Oak No. 125, Houston, Texas ("Branch Offices"). These Branch Offices were not Respondent's principal office and were not registered with the Securities Commissioner as branch offices of Respondent.
7. Pursuant to Section 14.A(6) of the Texas Securities Act, the Securities Commissioner may reprimand a registered dealer and a registered investment adviser if the dealer or investment adviser has violated any provision of the Board Rules.
8. Pursuant to Section 23-1 of the Texas Securities Act, the Securities Commissioner may assess an administrative fine against any dealer or investment adviser found to have engaged in an act or practice that violates the Board Rules.

#### CONCLUSIONS OF LAW

1. The Branch Offices were both a "Branch Office" of Respondent as defined by §115.1(a)(2) and §116.1(a)(2) of the Board Rules, as in effect from August 12, 2001 to January 7, 2006.
2. Respondent violated §115.1(b)(1)(B) and §116.1(b)(1)(B) of the Board Rules by maintaining records in the Branch Offices at a time when such offices were not registered with the Securities Commissioner as branch offices of Respondent.
3. Pursuant to Section 14.A(6) of the Texas Securities Act, the foregoing violations of the Board Rules constitute bases for the issuance of an order reprimanding a registered dealer and a registered investment adviser.
4. Pursuant to Section 23-1 of the Texas Securities Act, the foregoing violations of the Board Rules constitute bases for the issuance of an order assessing an administrative fine against a dealer and an investment adviser.

ORDER

1. It is ORDERED that Huckin Financial Group, Inc. is hereby REPRIMANDED.
2. It is further ORDERED that Huckin Financial Group, Inc. is hereby ASSESSED AN ADMINISTRATIVE FINE in the amount of Six Hundred Dollars (\$600.00). Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of Six Hundred Dollars (\$600.00), payable to the State of Texas, contemporaneously with the delivery of this Order.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 25<sup>th</sup>  
day of September, 2006.

  
DENISE VOIGT CRAWFORD  
Securities Commissioner

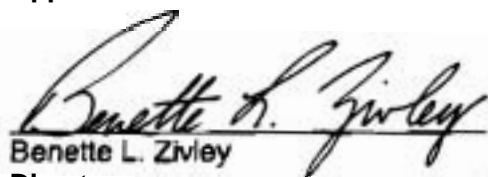
**Respondents:**

**Huckin Financial Group, Inc.**



\_\_\_\_\_  
**David L. Huckin, President**

**Approved as to FORM:**



\_\_\_\_\_  
**Benette L. Zivley**  
**Director**  
**Inspections and Compliance Division**

## ACKNOWLEDGMENT

On the 12 day of Sept, 2006, Huckin Financial Group, Inc. ('Respondent?'). by and through David L. Huckin, its President, appeared before me. executed the foregoing Order, and acknowledged that:

1. David L. Huckin is duly authorized to enter into the foregoing Order on behalf of Respondent;
2. David L. Huckin has read the foregoing Order;
3. Respondent has been fully advised of its rights under the Texas Securities Act and the Administrative Procedure Act;
4. Respondent knowingly and voluntarily consents to the entry of the foregoing Order and the Findings of Fact and Conclusions of Law contained herein; and
5. Respondent, by consenting to the entry of the foregoing Order, has knowingly and voluntarily waived its rights as set forth therein.

  
Notary Public in and for  
The State of Texas

[affix notary seal here]

My commission expires on: 12-31-2007

