

DENISE VOIGT CRAWFORD
SECURITIES COMMISSIONER

JOHN R. MORGAN
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

BETH ANN BLACKWOOD
CHAIR

BRYAN K. BROWN
MEMBER

EDWARD ESCUDERO
MEMBER

DERRICK MITCHELL
MEMBER

E. WALLY KINNEY
MEMBER

IN THE MATTER OF THE §
INVESTMENT ADVISER REGISTRATION §
OF GEOFFRY H. OSHMAN, CFP §

Order No. IC09-SUS-05

TO: Geoffry Hillel Oshman
Geoffry H. Oshman, CFP (CRD No. 114278)
2001 Holcombe Blvd. Ste. 1405
Houston, TX, 77030-4215

DISCIPLINARY ORDER

Be it remembered that Geoffry H. Oshman, CFP ("Respondent") by and through Geoffry Hillel Oshman, its Owner, 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. 2008) ("Texas Securities Act") and the Administrative Procedure Act, TEX. GOV'T CODE ANN. § 2001.001 et seq. (Vernon 2000 & Supp. 2008) ("Administrative Procedure Act").
2. On or about January 2, 1998, Respondent registered with the Securities Commissioner as an investment adviser, which was terminated on or about December 31, 2007 when Respondent failed to renew its registration, and renewed on or about October 21, 2008, which is currently effective.
3. The Staff of the Texas State Securities Board ("Staff") performed an inspection of Respondent on or about November 6, 2008 ("Inspection").
4. During the course of the Inspection, Staff discovered that from on or about January 1, 2008, to on or about October 21, 2008, Respondent provided investment advisory services without first being registered with the Securities Commissioner as an investment adviser.

5. Pursuant to Section 12.B of the Texas Securities Act, a person may not render services as an investment adviser in this state unless registered under the provisions of the Act.
6. Pursuant to §116.1(b)(1)(A) of the Rules and Regulation of the Texas State Securities Board ("Board Rules"), a person may not render services as an investment adviser in this state unless registered under the provisions of the Act.
7. Pursuant to Section 14.A(6) of the Texas Securities Act, the Securities Commissioner may reprimand or suspend a person registered under the Act if the person has violated any of the provisions of the Act or Board Rules.

CONCLUSIONS OF LAW

1. Respondent's rendering services as an investment adviser without first being registered with the Securities Commissioner is a violation of Section 12.B of the Texas Securities Act and §116.1(b)(1)(A) of the Board Rules.
2. Pursuant to Section 14.A(6) of the Texas Securities Act, the foregoing violations constitute basis for the issuance of an order reprimanding and suspending an investment adviser.

ORDER

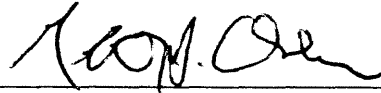
1. It is ORDERED that Geoffry H. Oshman, CFP is hereby REPRIMANDED.
2. It is further ORDERED that the investment adviser registration of Geoffry H. Oshman, CFP is SUSPENDED for ten (10) business days from the date this Order is signed by the Securities Commissioner. In the event that the registration of Geoffry H. Oshman, CFP is terminated before the end of this period, the suspension period will be tolled from the date that the registration of Geoffry H. Oshman, CFP is terminated to the date that the registration of Geoffry H. Oshman, CFP is effective again.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 16th
day of March, 2009.


DENISE VOIGT CRAWFORD
Securities Commissioner

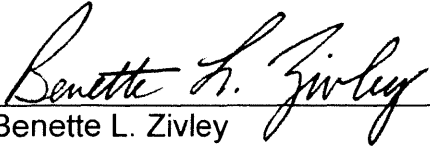
Respondent:

Geoffry H. Oshman, CFP



Geoffry Hillel Oshman, Owner

Approved as to Form:



Benette L. Zivley

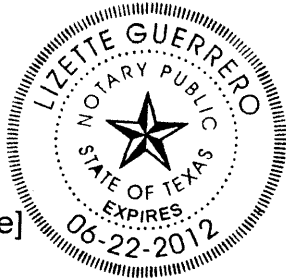
Director

Inspections and Compliance Division

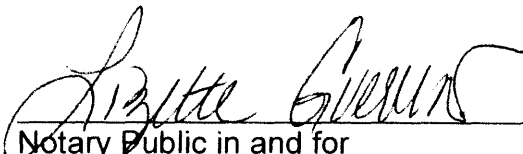
ACKNOWLEDGMENT

On the 11 day of MARCH, 2009, Geoffry H. Oshman, CFP ("Respondent"), by and through Geoffry Hillel Oshman, its Owner, appeared before me, executed the foregoing Order, and acknowledged that:

1. Geoffry Hillel Oshman is duly authorized to enter into the foregoing Order on behalf of Respondent;
2. Geoffry Hillel Oshman 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.



[affix notary seal here]


Notary Public in and for
The State of TEXAS

My commission expires on: 6-22-12