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## Texas State Securities Board

208 E. 10th Street, 5th Floor  
Austin, Texas 78701-2407  
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Phone: (512) 305-8300  
Facsimile: (512) 305-8310

IN THE MATTER OF THE  
AGENT REGISTRATION  
OF TONI LEYNETT HALDENBY

§  
§  
§

**Order No. IC09-SUS-17**

TO: Toni Leynett Haldenby (CRD No. 4021430)  
Caprock Securities, Inc.  
4601 50<sup>th</sup> Street, Suite 202  
Lubbock, TX 79414

### DISCIPLINARY ORDER

Be it remembered that Toni Leynett Haldenby, also known as Toni Leynett Robertson, ("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 the 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 2008) ("Administrative Procedure Act").
2. On or about October 16, 2006, Respondent applied for registration with the Securities Commissioner as an agent of Caprock Securities, Inc. ("Caprock"), which is currently effective.

3. From on or about October 6, 2008 to on or about October 10, 2008, and from on or about October 20, 2008 to on or about October 24, 2008, the Staff of the Texas State Securities Board ("Staff") performed an inspection of the branch location of Caprock from which Respondent conducted securities business ("Inspection").
4. During the course of the Inspection, Staff discovered that from on or about July 12, 2007 to on or about October 15, 2008, Respondent's partner engaged in the sale of securities in Texas at a time when Respondent's partner was not registered as an agent with the Securities Commissioner and Respondent reported such sales under Respondent's name and representative number. Respondent's partner had been previously registered as an agent with the Securities Commissioner, but was not registered at the time period described in this paragraph.
5. Respondent represented to Staff that Caprock was aware of the solicitation and sales activity involving Respondent's partner and approved reporting such activity under Respondent's name and representative number, however Caprock represented to Staff that Caprock was not aware of the activity and had not approved the activity or the method of reporting such activity.
6. During the course of the Inspection, Staff also discovered that the company owned by Respondent and Respondent's partner accepted loans from individuals at a time when such individuals were expected to become customers.
7. Respondent represented to Staff that Caprock was aware of the loans at the time of acceptance and that no disciplinary action was taken against Respondent, however Caprock represented to Staff that Caprock was not aware of the loans at the time of acceptance and that Respondent was reprimanded for such activity.
8. Pursuant to Section 14.A(3) of the Texas Securities Act, the Securities Commissioner may reprimand or suspend a person registered under the Texas Securities Act if the person has engaged in any inequitable practice in the sale of securities.
9. Pursuant to Section 14.A(7) of the Texas Securities Act, the Securities Commissioner may reprimand or suspend a person registered under the Texas Securities Act if the person has made any material misrepresentation to the Commissioner in connection with any information deemed necessary by the Commissioner to determine a dealer or agent's business repute or qualifications.

#### CONCLUSIONS OF LAW

1. Respondent's reporting sales of securities by an unregistered agent under Respondent's name and representative number is an inequitable practice in the sale of securities, which constitutes a basis for the issuance of an order reprimanding or suspending an agent pursuant to Section 14.A(3) of the Texas Securities Act.

2. Respondent's accepting loans from individuals at a time when such individuals were expected to become customers is an inequitable practice in the sale of securities, which constitutes a basis for the issuance of an order reprimanding or suspending an agent pursuant to Section 14.A(3) of the Texas Securities Act.
3. Respondents' misrepresentations to Staff are material misrepresentations to the Commissioner in connection with information deemed necessary by the Commissioner to determine a dealer or agent's business repute or qualifications, which constitutes a basis for the issuance of an order reprimanding or suspending an agent pursuant to Section 14.A(7) of the Texas Securities Act.

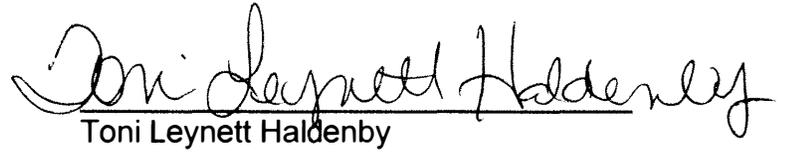
ORDER

1. It is therefore ORDERED that Toni Leynett Haldenby is hereby REPRIMANDED.
2. It is further ORDERED that the registration of Toni Leynett Haldenby is hereby SUSPENDED for a period of twenty-one (21) days from the date this Order is entered by the Securities Commissioner. In the event that the registration of Toni Leynett Haldenby is terminated before the end of this period, the suspension period will be tolled from the date that the registration of Toni Leynett Haldenby is terminated to the date that the registration of Toni Leynett Haldenby is again effective.

SIGNED AND ENTERED by the Securities Commissioner this 31<sup>st</sup> day of September, 2009.

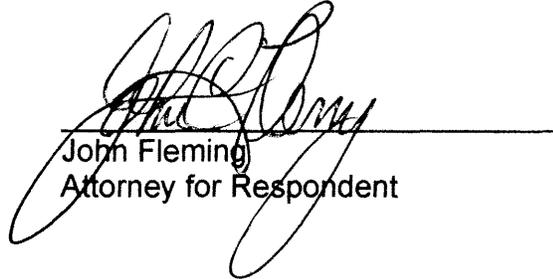


DENISE VOIGT CRAWFORD  
Securities Commissioner

  
Toni Leynett Haldenby

Approved as to Form:

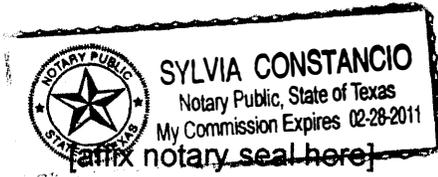
  
Benette L. Zivley  
Director  
Inspections and Compliance Division

  
John Fleming  
Attorney for Respondent

**ACKNOWLEDGMENT**

On the 1 day of September, 2009, Toni Leynett Haldenby ("Respondent") appeared before me, executed the foregoing Order, and acknowledged that:

1. Respondent has read the foregoing Order;
3. Respondent has been fully advised of her 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 her rights as set forth therein.



Notary Public in and for  
The State of Texas

My commission expires on: 2-28-2011

*Sylvia Constancio*