

DENISE VOIGT CRAWFORD
SECURITIES COMMISSIONER



JOHN R. MORGAN
DEPUTY SECURITIES COMMISSIONER

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IN THE MATTER OF THE APPLICATIONS §
FOR AGENT AND INVESTMENT ADVISER §
REPRESENTATIVE REGISTRATION §
OF RUSSELL COOLIDGE NEWTON, JR. §

Order No. REG10-CAF-03

TO: Russell Coolidge Newton, Jr. (CRD No. 1357314)
Capital One Investment Services LLC
Capital One Financial Advisors LLC
265 Broad Hollow Road
Melville, NY 11747

DISCIPLINARY ORDER

Be it remembered that Russell Coolidge Newton, Jr. ("Respondent") appeared before the Deputy Securities Commissioner of the State of Texas and consented to the entry of this order ("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. 2009)("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOV'T CODE ANN. § 2001.001 et seq. (Vernon 2008 & Supp. 2009)("Administrative Procedure Act").
2. On or about June 4, 2002, Capital One Investment Services Corporation, now known as Capital One Investment Services LLC ("Capital One Investment"), registered with the Securities Commissioner of the State of Texas ("Securities Commissioner") as a dealer. This registration is currently effective.
3. On or about June 4, 2009, Capital One Financial Advisors LLC ("Capital One Financial") registered with the Securities Commissioner as an investment adviser. This registration is currently effective.
4. On or about September 10, 2009, Respondent applied for registration with the Securities Commissioner as an investment adviser representative of Capital One Financial. This application for registration is currently pending.

5. On or about September 21, 2009, Respondent applied for registration with the Securities Commissioner as an agent of Capital One Investment. This application for registration is currently pending.
6. On or about April 14, 2005 to the present, C.L. Parker, Inc. d/b/a Parker Financial Advisors ("Parker Financial") has been registered under the Investment Advisers Act of 1940 with the United States Securities and Exchange Commission as an investment adviser, and is a federal covered investment adviser that is notice-filed with the Securities Commissioner.
7. From on or about June 1, 2008 through on or about June 30, 2009, Respondent, for compensation and in Texas, provided investment advice to Parker Financial's clients on behalf of Parker Financial. Respondent was not registered with the Securities Commissioner as an investment adviser representative of Parker Financial.
8. Section 12.B of the Texas Securities Act prohibits a person from rendering services as an investment adviser representative in Texas unless the person is registered under the Texas Securities Act, submits a notice filing as provided by Section 12-1 of the Texas Securities Act, or is otherwise exempt.

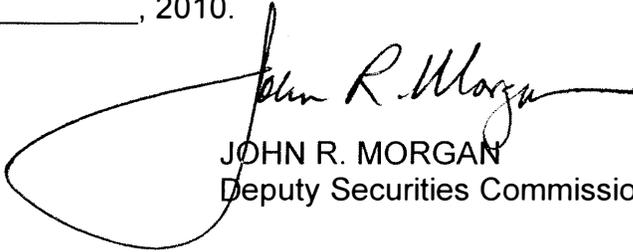
CONCLUSIONS OF LAW

1. Respondent, for compensation, provided investment advice on behalf of Parker Financial, and therefore is an "investment adviser representative" as the term "investment adviser representative" is defined by Section 4.P of the Texas Securities Act.
2. Respondent violated Section 12.B of the Texas Securities Act by rendering services as an investment adviser representative in Texas for Parker Financial at a time when Respondent was not registered as an investment adviser representative of Parker Financial with the Securities Commissioner.
3. Pursuant to Section 14.A(6) of the Texas Securities Act, the foregoing violation constitutes a basis for the issuance of an order reprimanding Respondent.
4. Pursuant to Section 23-1 of the Texas Securities Act, the foregoing violation constitutes a basis for the issuance of an order assessing an administrative fine against Respondent.

ORDER

1. It is therefore ORDERED that the registration of Russell Coolidge Newton, Jr. with the Securities Commissioner as an agent of Capital One Investment Services LLC is hereby GRANTED.
2. It is therefore ORDERED that the registration of Russell Coolidge Newton, Jr. with the Securities Commissioner as an investment adviser representative of Capital One Financial Advisors LLC is hereby GRANTED.
3. It is further ORDERED that Russell Coolidge Newton, Jr. is hereby REPRIMANDED.
4. It is further ORDERED that Russell Coolidge Newton, Jr. is hereby ASSESSED AN ADMINISTRATIVE FINE in the amount of Six Thousand Dollars (\$6,000.00). Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of Six Thousand Dollars (\$6,000.00), payable to the State of Texas, contemporaneously with the delivery of this Order.

SIGNED AND ENTERED BY THE DEPUTY SECURITIES COMMISSIONER this
22nd day of June, 2010.



JOHN R. MORGAN
Deputy Securities Commissioner

Respondent:

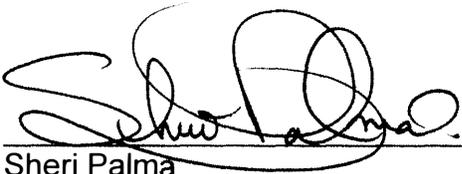


Russell Coolidge Newton, Jr.

Approved as to Form:



Patricia A. Louterback
Director
Registration Division

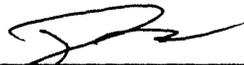


Sheri Palma
Attorney
Registration Division

ACKNOWLEDGMENT

On the 17TH day of JUNE, 2010, Russell Coolidge Newton, Jr. ("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.



Notary Public in and for
the State of Texas

[affix notary seal here]

My commission expires on: 12-10-12

