

## BrokerCheck Report

**MICHAEL EDMUND HENTGES**

CRD# 1319467

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

## About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
  - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
  - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

**Thank you for using FINRA BrokerCheck.**



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at [brokercheck.finra.org](http://brokercheck.finra.org)



For additional information about the contents of this report, please refer to the User Guidance or [www.finra.org/brokercheck](http://www.finra.org/brokercheck). It provides a glossary of terms and a list of frequently asked questions, as well as additional resources. For more information about FINRA, visit [www.finra.org](http://www.finra.org).



**MICHAEL E. HENTGES**  
CRD# 1319467

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 4 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 3 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B** DOMINION INVESTOR SERVICES, INC.  
CRD# 21548  
MARBLE FALLS, TX  
08/2003 - 06/2005
- B** DOMINION INVESTOR SERVICES, INC.  
CRD# 21548  
MARBLE FALLS, TX  
04/1996 - 09/1999
- B** SUN INVESTMENT SERVICES COMPANY  
CRD# 5496  
WELLESLEY HILLS, MA  
10/1993 - 12/1995

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	4

## Broker Qualifications



### Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



## Broker Qualifications

### Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

**This individual has passed 4 principal/supervisory exams, 2 general industry/product exams, and 3 state securities law exams.**

### Principal/Supervisory Exams

Exam	Category	Date
<b>B</b> General Securities Principal Examination	Series 24	08/12/2003
<b>B</b> Municipal Securities Principal Examination	Series 53	11/26/1991
<b>B</b> Registered Options Principal Examination	Series 4	09/23/1991
<b>B</b> Investment Company Products/Variable Contracts Principal Examination	Series 26	01/09/1987

### General Industry/Product Exams

Exam	Category	Date
<b>B</b> General Securities Representative Examination	Series 7	07/31/2003
<b>B</b> Investment Company Products/Variable Contracts Representative Examination	Series 6	11/03/1984

### State Securities Law Exams

Exam	Category	Date
<b>B</b> <b>IA</b> Uniform Combined State Law Examination	Series 66	08/01/2003
<b>IA</b> Uniform Investment Adviser Law Examination	Series 65	04/02/1996
<b>B</b> Uniform Securities Agent State Law Examination	Series 63	11/03/1984

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at [www.finra.org/brokerqualifications/registeredrep/](http://www.finra.org/brokerqualifications/registeredrep/).

## Broker Qualifications



## Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



## Registration and Employment History

### Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
<b>B</b> 08/2003 - 06/2005	DOMINION INVESTOR SERVICES, INC.	21548	MARBLE FALLS, TX
<b>B</b> 04/1996 - 09/1999	DOMINION INVESTOR SERVICES, INC.	21548	MARBLE FALLS, TX
<b>B</b> 10/1993 - 12/1995	SUN INVESTMENT SERVICES COMPANY	5496	WELLESLEY HILLS, MA
<b>B</b> 03/1993 - 07/1993	SUN INVESTMENT SERVICES COMPANY	5496	WELLESLEY HILLS, MA
<b>B</b> 07/1991 - 01/1993	ANDREWS, HENTGES & ASSOCIATES, INC.	28417	TULSA, OK
<b>B</b> 08/1990 - 03/1992	WALNUT STREET SECURITIES, INC.	15840	EL SEGUNDO, CA
<b>B</b> 11/1984 - 08/1990	FIRST INVESTORS CORPORATION	305	EDISON, NJ

### Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

**Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.**

Employment	Employer Name	Position	Investment Related	Employer Location
07/2003 - Present	DOMINION INVESTOR SERVICES, INC.	REGISTERED REPRESENTATIVE	Y	SAN ANTONIO, TX, United States
03/1995 - Present	MICHAEL E HENTGES INC	OTHER - INSURANCE BROKERAGE	N	TULSA, OK, United States

# Disclosure Events



## What you should know about reported disclosure events:

- 1. **Disclosure events in BrokerCheck reports come from different sources:**
  - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	4	0



## Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

### Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

#### Disclosure 1 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	OKLAHOMA
<b>Sanction(s) Sought:</b>	Bar
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	10/19/2006
<b>Docket/Case Number:</b>	ODS 05-068
<b>Employing firm when activity occurred which led to the regulatory action:</b>	DOMINION INVESTOR SERVICES, INC.
<b>Product Type:</b>	Investment Contract(s)
<b>Other Product Type(s):</b>	PROMISSORY NOTES
<b>Allegations:</b>	DISHONEST OR UNETHICAL PRACTICES, UNTRUE STATEMENTS OF MATERIAL FACT
<b>Current Status:</b>	Final
<b>Resolution:</b>	Consent
<b>Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?</b>	Yes
<b>Resolution Date:</b>	06/21/2007
<b>Sanctions Ordered:</b>	Bar

**Other Sanctions Ordered:**

**Sanction Details:** BARRING FROM ASSOCIATION WITH A BROKER-DEALER AND/OR INVESTMENT ADVISER

**Disclosure 2 of 4**

**Reporting Source:** Regulator

**Regulatory Action Initiated By:** OKLAHOMA DEPARTMENT OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/23/1993

**Docket/Case Number:** 93 - 17

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** ON SEPTEMBER 23, 1993, THE ADMINISTRATOR OF THE OKLAHOMA DEPARTMENT OF SECURITIES ISSUED A NOTICE OF INTENT TO REVOKE OR SUSPEND REGISTRATION AS A BROKER-DEALER AND AS AGENTS, AND/OR ISSUE A PERMANENT ORDER TO CEASE AND DESIST AND/OR TO BAR FROM ASSOCIATION WITH A BROKER-DEALER AND/OR TO IMPOSE A CIVIL PENALTY (NOTICE) AGAINST THE ABOVE-NAMED RESPONDENTS. ON NOVEMBER 17, 1993, THE ADMINISTRATOR ENTERED INTO AN AGREEMENT WITH AND ISSUED A PERMANENT ORDER TO CEASE AND DESIST AGAINST MICHAEL HENTGES. HENTGES IS BARRED FROM ASSOCIATION WITH ANY BROKER-DEALER IN A PRINCIPAL CAPACITY, WILL MAKE FULL RESTITUTION TO THE PREFERRED STOCK INVESTORS, WILL COOPERATE WITH THE DEPARTMENT AND WILL COMPLETE ADDITIONAL HOURS OF EDUCATION IN COMPLIANCE AND/OR SECURITIES LAW. ON DECEMBER 3, 1993, THE ADMINISTRATOR ISSUED A PERMANENT ORDER STATING THAT THE REGISTRATION OF ANDREW, HENTGES & ASSOCIATES, INC. IS REVOKED FOR VIOLATIONS OF THE ACT AND THAT ANDREWS, HENTGES CONSOLIDATED FINANCIAL SERVICES COMPANIES, INC. ,



ANDREWS HENTGES INTERNATIONAL AND TCI INVESTMENTS OST LTD. CEASE AND DESIST FROM ENGAGING IN ANY VIOLATION OF SECTIONS 101, 201, 301 AND 402 OF THE SECURITIES ACT. ON FEBRUARY 13, 1995, THE ADMINISTRATOR ENTERED INTO AN AGREEMENT WITH AND ENTERED AN ORDER AGAINST KENNETH E. JONES WHEREIN JONES IS BARRED FROM ASSOCIATION WITH ANY BROKER-DEALER IN ANY CAPACITY EXCEPT AS A CUSTOMER.

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 11/17/1993

**Sanctions Ordered:** Bar  
Cease and Desist/Injunction  
Disgorgement/Restitution

**Other Sanctions Ordered:**

**Sanction Details:** Not Provided

**Regulator Statement** CONTACT: PATRICIA M. LABARTHE, (405) 235-0230

---

**Reporting Source:** Firm

**Regulatory Action Initiated By:** OKLAHOMA DEPARTMENT OF SECURITIES

**Sanction(s) Sought:**

**Other Sanction(s) Sought:**

**Date Initiated:** 09/23/1993

**Docket/Case Number:** 93 - 17

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** OFFER AND SALES OF UNREGISTERED SECURITIES, USE OF UNFILED SALES MATERIAL. FRAUDULENT CONDUCT, FAILURE TO PROVIDE DISCLOSURE REGARDING HIS CONTROL OVER SEVERAL



ENTITIES,  
UNSUITABLE RECOMMENDATIONS TO CUSTOMERS.

**Current Status:**

Final

**Resolution:**

Consent

**Resolution Date:**

11/17/1993

**Sanctions Ordered:**

Bar  
Cease and Desist/Injunction  
Disgorgement/Restitution

**Other Sanctions Ordered:****Sanction Details:**

PERMANENT ORDER TO CEASE & DESIST, AGREED TO  
MAKE RESTITUTION TO REPURCHASERS OF PREFERRED STOCK, AGREED  
TO  
CONTINUING EDUCATION, BARRED AS PRINCIPAL (11/17/95)

**Firm Statement**

Not Provided

**Reporting Source:**

Broker

**Regulatory Action Initiated  
By:**

OKLAHOMA DEPARTMENT OF SECURITIES

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:**

09/23/1993

**Docket/Case Number:**

93 - 17

**Employing firm when activity  
occurred which led to the  
regulatory action:****Product Type:****Other Product Type(s):****Allegations:**

VIOLATIONS OF SECTION 301,402, AND 101 OF THE  
OKLAHOMA SECURITIES ACT RULES 660:10-5-42(B)(2) AND 660:  
10-5-42(B)(11) THERE UNDER IN CONNECTION WITH ANDREWS HENTGES &  
ASSOCIATES INC AND ANDREWS, HENTGES CONSOLIDATED FINANCIAL  
SERVICES COMPANIES INC.

**Current Status:**

Final



<b>Resolution:</b>	Consent
<b>Resolution Date:</b>	11/17/1993
<b>Sanctions Ordered:</b>	Bar Cease and Desist/Injunction Disgorgement/Restitution
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	ORDER TO CEASE AND DESIST FROM VIOLATIONS OF SECTIONS 201 AND 301 OF THE OKLAHOMA SECURITIES ACT AGREEMENT TO BAR AS PRINCIPAL, RESTITUTION TO PUBLIC CUSTOMERS AND EIGHT HOURS OF CONTINUING EDUCATION.
<b>Broker Statement</b>	APPLICANT HAS FULFILLED ALL REQUIREMENTS OF THE AGREEMENT INCLUDING RESTITUTION OF CUSTOMERS IN THE AMOUNT OF \$204,163.09

#### Disclosure 3 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/06/1993
<b>Docket/Case Number:</b>	C05930033
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ANDREWS, HENTGES & ASSOCIATES, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	12/01/1994

**Sanctions Ordered:**

Bar  
Censure  
Disgorgement/Restitution  
Monetary/Fine \$15,000.00

**Other Sanctions Ordered:****Sanction Details:****Regulator Statement**

[TOP] COMPLAINT NO. C05930033 FILED 5/6/93 BY DISTRICT NO. 5 AGAINST ANDREWS, HENTGES, & ASSOCIATES, INC., AND MICHAEL E. HENTGES, ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 2, 18, 19, 21, 27, AND 40 OF THE RULES OF FAIR PRACTICE AND ARTICLE IV, SECTION 2(c) AND SCHEDULE C OF THE NASD'S BY-LAWS IN THAT, MEMBER, ACTING THROUGH HENTGES, , FAILED TO DISCLOSE MATERIAL INFORMATION TO INVESTORS IN CONTRAVENTION OF SEC RULE 10b-5; FAILED TO OBTAIN INFORMATION NECESSARY TO DETERMINE THE SUITABILITY OF THE INVESTMENT FOR INVESTORS; SENT FALSE AND MISLEADING ACCOUNT STATEMENTS TO INVESTORS IN AN EQUITY OFFERING FAILED TO RECORD THE SALES, MISAPPROPRIATED FUNDS, MISUSED CUSTOMER FUNDS TOTALING \$30,244.78 WITHOUT THE KNOWLEDGE OR CONSENT OF THE CUSTOMERS; FAILED TO RECORD THE PURCHASE AND SALE OF 11 CERTIFICATES OF ORGINATION FEES ON THE FIRM'S BOOKS AND RECORDS; PREPARED INACCURATE NET CAPITAL COMPUTATIONS; SUBMITTED INACCURATE FOCUS PART I REPORTS; SUBMITTED INACCURATE FOCUS PART IIA REPORTS; FAILED TO DISCLOSE ON HIS UNIFORM APPLICATION FOR SECURITIES INDUSTRY REGISTRATION OR TRANSFER (FORM U-4) THAT HE HAD FILED FOR BANKRUPTCY; ALLOWED RESPONDENT JONES TO ACTIVELY ENGAGE IN THE MANAGEMENT OF MEMBER WHILE NOT BEING REGISTERED WITH THE NASD IN ANY CAPACITY; FAILED TO ADEQUATELY SUPERVISE THE ACTIVITIES OF RESPONDENT TIPTON. DECISION RENDERED 5/11/94. ON 12/1/94, THE DECISION AND ORDER OF ACCEPTANCE OF OFFER OF SETTLEMENT ISSUED; THEREFORE, HENTGES IS CENSURED, FINED \$15,000, BARRED FROM ASSOCIATION WITH ANY NASD MEMBER IN ANY PRINCIPAL CAPACITY, AND MUST DEMONSTRATE THAT WITHIN ONE YEAR FROM THE DATE OF THE FINAL ACCEPTANCE OF THIS OFFER OF SETTLEMENT BY THE NASD, RESTITUTION IN THE AMOUNT OF \$100,000 HAS BEEN MADE TO PUBLIC CUSTOMERS. \$15,000 FULLY PAID AS OF 12/17/96, INVOICE #94-05-805 PER DISTRICT 5-PRROF OF RESTITUTION WAS RECEIVED.



<b>Reporting Source:</b>	Firm
<b>Regulatory Action Initiated By:</b>	NASD DISTRICT 5
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	
<b>Date Initiated:</b>	05/06/1993
<b>Docket/Case Number:</b>	C05930033
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ANDREWS, HENTGES & ASSOCIATES, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	INFORMATION AVAILABLE THROUGH DISTRICT 5
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	12/01/1994
<b>Sanctions Ordered:</b>	Bar Censure Disgorgement/Restitution Monetary/Fine \$15,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	PENDING
<b>Firm Statement</b>	Not Provided

---

<b>Reporting Source:</b>	Broker
<b>Regulatory Action Initiated By:</b>	NASD
<b>Sanction(s) Sought:</b>	
<b>Other Sanction(s) Sought:</b>	



<b>Date Initiated:</b>	05/06/1993
<b>Docket/Case Number:</b>	C05930033
<b>Employing firm when activity occurred which led to the regulatory action:</b>	ANDREWS, HENTGES & ASSOCIATES, INC.
<b>Product Type:</b>	
<b>Other Product Type(s):</b>	
<b>Allegations:</b>	VIOLATIONS OF NASD RULES OF FAIR PRACTICE & FEDERAL SECURITIES LAWS INCLUDING FAILURE TO SUPERVISE PERSONS RESPONSIBLE FOR PREPARATION OF FINANCIAL RECORDS, FEDERAL SECURITIES VIOLATIONS WITH REGARDS TO COOFS AND SALE OF ANDREWS HENTGES CONSOLIDATED PREFERRED STOCK INCLUDING MATERIAL OMISSIONS AND MISREPRESENTATIONS, FAILURE TO DETERMINE SUITABILITY, FAILURE TO RECORD OFFERING AND SUBMIT IF REQUIRED DOCUMENTS, MISAPPROPRIATION OF FUNDS.
<b>Current Status:</b>	Final
<b>Resolution:</b>	Decision & Order of Offer of Settlement
<b>Resolution Date:</b>	12/01/1994
<b>Sanctions Ordered:</b>	Bar Censure Disgorgement/Restitution Monetary/Fine \$15,000.00
<b>Other Sanctions Ordered:</b>	
<b>Sanction Details:</b>	CENSURE, BAR AS PRINCIPAL, \$15,000 FINE RESTITUTION OF NOT LESS THAN \$100,000 TO PUBLIC CUSTOMERS WITHIN ONE YEAR.
<b>Broker Statement</b>	Not Provided

#### Disclosure 4 of 4

<b>Reporting Source:</b>	Regulator
<b>Regulatory Action Initiated By:</b>	TEXAS STATE SECURITIES BOARD
<b>Sanction(s) Sought:</b>	

**Other Sanction(s) Sought:**

**Date Initiated:** 01/24/1995  
**Docket/Case Number:** CDO/CEN-1035

**Employing firm when activity occurred which led to the regulatory action:**

**Product Type:**

**Other Product Type(s):**

**Allegations:** Not Provided

**Current Status:** Final

**Resolution:** Consent

**Resolution Date:** 01/24/1995

**Sanctions Ordered:** Cease and Desist/Injunction  
 Censure  
 Suspension

**Other Sanctions Ordered:**

**Sanction Details:** ON JANUARY 24, 1995, THE TEXAS SECURITIES COMMISSIONER ENTERED A CONSENT ORDER AGAINST MICHAEL EDMUND HENTGES. RESPONDENT'S REGISTRATION WAS SUSPENDED FOR 30 CALENDAR DAYS FROM DATE OF ENTRY OF THIS ORDER AND FURTHER SUSPENDED FOR 180 CALENDAR DAYS FROM SOLICITING OR OPENING NEW SECURITIES ACCOUNTS. RESPONDENT WAS PLACED ON PROBATION FOR 2 YEARAS AND ORDERED TO CEASE & DESIST FROM FUTURE VIOLATIONS OF THE SECURITIES ACT.

**Regulator Statement** CONTACT: JOYCE MILLER (512) 305=8390

**Reporting Source:** Broker

**Regulatory Action Initiated By:** TEXAS STATE SECURITIES BOARD

**Sanction(s) Sought:****Other Sanction(s) Sought:****Date Initiated:** 01/24/1995**Docket/Case Number:** CDO/CEN-1035**Employing firm when activity occurred which led to the regulatory action:****Product Type:****Other Product Type(s):****Allegations:** WHILE EMPLOYED AS A SECURITIES AGENT OF ANDREWS, HENTGES & ASSOCIATES, INC ENGAGED IN INEQUITABLE PRACTICES IN THE SALE OF SECURITIES TO RESIDENTS IN TEXAS.**Current Status:** Final**Resolution:** Consent**Resolution Date:** 01/24/1995**Sanctions Ordered:** Cease and Desist/Injunction  
Censure  
Suspension**Other Sanctions Ordered:****Sanction Details:** APPLICANTS REGISTRATION AS A SECURITIES AGENT OF SUN INVESTMENT SERVICES COMPANY GRANTED WITH REGISTRATION SUSPENDED FOR 30 DAYS. APPLICANT SUSPENDED FOR ADDITIONAL 180 DAYS FROM SOLICITING OR OPENING ACCOUNTS FOR CLIENTS NOT HAVING PRIOR BUSINESS RELATIONSHIP WITH APPLICANT. APPLICANT IS PLACED ON PROBATION FOR A PERIOD OF TWO YEARS. TERMS OF PROBATION ARE SPECIFIED IN ORDER.**Broker Statement** THIS ORDER AROSE FROM THE ACTIVITIES OF ANDREWS, HENTGES & ASSOCIATES NC IN 1992. APPLICANT BELIEVES THAT NO PUBLIC CUSTOMER LOST MONEY IN CONNECTION WITH THE MATTER. APPLICANT MADE FULL RESTITUTION TO TEXAS INVESTORS PRIOR TO COMMENCEMENT TO THIS PROCEEDING.

## End of Report



**This page is intentionally left blank.**