

BrokerCheck Report

DAVID LAWRENCE HUCKIN

CRD# 853863

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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



For additional information about the contents of this report, please refer to the User Guidance or 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.

**DAVID L. HUCKIN**

CRD# 853863

Currently employed by and registered with the following Firm(s):

IA UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
 4265 SAN FELIPE
 STE. 510
 HOUSTON, TX 77027
 CRD# 20804
 Registered with this firm since: 01/03/2022

B UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
 4265 SAN FELIPE
 STE. 510
 HOUSTON, TX 77027
 CRD# 20804
 Registered with this firm since: 01/03/2022

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 registered with:

- 1 Self-Regulatory Organization
- 13 U.S. states and territories

This broker has passed:

- 2 Principal/Supervisory Exams
- 5 General Industry/Product Exams
- 0 State Securities Law Exams

Registration History

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

- B HUCKIN FINANCIAL GROUP, INC.**
 CRD# 8593
 Corona Del Mar, CA
 02/1981 - 02/2022
- IA HUCKIN FINANCIAL GROUP, INC.**
 CRD# 8593
 HOUSTON, TX
 08/1983 - 12/2021
- B NEW ENGLAND SECURITIES**
 CRD# 615
 NEW YORK, NY
 04/1986 - 03/1990

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1



Broker Qualifications

Registrations

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

This individual is currently registered with 1 SRO and is licensed in 13 U.S. states and territories through his or her employer.

Employment 1 of 1

Firm Name: **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

Main Office Address: **7333 E. DOUBLETREE RANCH ROAD #120
SCOTTSDALE, AZ 85258-2023**

Firm CRD#: **20804**

	SRO	Category	Status	Date
B	FINRA	Direct Participation Programs	Approved	01/03/2022
B	FINRA	Direct Participation Programs Principal	Approved	01/03/2022
B	FINRA	Invest. Co and Variable Contracts	Approved	01/03/2022
B	FINRA	Investment Co./Variable Contracts Prin	Approved	01/03/2022
B	FINRA	Operations Professional	Approved	01/03/2022

	U.S. State/ Territory	Category	Status	Date
B	California	Agent	Approved	01/06/2022
B	Colorado	Agent	Approved	01/13/2022
B	Florida	Agent	Approved	01/04/2022
B	Illinois	Agent	Approved	02/22/2022
B	Louisiana	Agent	Approved	02/02/2022
B	Michigan	Agent	Approved	01/10/2022
B	Minnesota	Agent	Approved	08/19/2025
B	North Carolina	Agent	Approved	03/15/2022

Broker Qualifications



Employment 1 of 1, continued

	U.S. State/ Territory	Category	Status	Date
B	Ohio	Agent	Approved	01/07/2022
B	Pennsylvania	Agent	Approved	01/12/2022
IA	Texas	Investment Adviser Representative	Approved	01/03/2022
B	Texas	Agent	Approved	01/04/2022
B	Washington	Agent	Approved	03/14/2022
B	Wisconsin	Agent	Approved	01/07/2022

Branch Office Locations

UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER
 4265 SAN FELIPE
 STE. 510
 HOUSTON, TX 77027



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 2 principal/supervisory exams, 5 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B Direct Participation Programs Principal Examination	Series 39	06/23/1983
B Investment Company Products/Variable Contracts Principal Examination	Series 26	02/03/1981

General Industry/Product Exams

Exam	Category	Date
B Investment Company Products/Variable Contracts Representative Examination	Series 6TO	01/02/2023
B Direct Participation Programs Representative Examination	Series 22TO	01/02/2023
B Operations Professional Examination	Series 99TO	01/02/2023
B Securities Industry Essentials Examination	SIE	10/01/2018
B Registered Representative Examination	Series 1	06/13/1978

State Securities Law Exams

Exam	Category	Date
No information reported.		

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/.

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 firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 02/1981 - 02/2022	HUCKIN FINANCIAL GROUP, INC.	8593	Corona Del Mar, CA
IA 08/1983 - 12/2021	HUCKIN FINANCIAL GROUP, INC.	8593	Corona Del Mar, CA
B 04/1986 - 03/1990	NEW ENGLAND SECURITIES	615	NEW YORK, NY
B 06/1983 - 09/1984	AETNA LIFE INSURANCE AND ANNUITY COMPANY	13256	
B 06/1978 - 02/1981	H. C. COPELAND AND ASSOCIATES EQUITIES, INC.	7447	

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
01/2022 - Present	David Huckin	President	Y	Houston, TX, United States
01/2022 - Present	UNITED PLANNERS FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
02/1981 - Present	HUCKIN FINANCIAL GROUP	PRINCIPAL	Y	HOUSTON, TX, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious or fraternal and is recognized as tax exempt.

- 1.) HUCKIN FINANCIAL GROUP INC - PRESIDENT - DBA NAME FOR MARKETING PURPOSES ONLY - HOUSTON, TX - SINCE 01/2022 - INVESTMENT RELATED
- 2.) HUCKIN TRAVEL AGENCY - OWNER - TRAVEL AGENCY USED FOR PERSONAL REASONS, NO INCOME OR EXPENSES GENERATED IN THE PAST 3 YEARS - HOUSTON, TX - SINCE 01/1990 - NOT INVESTMENT RELATED
- 3.) DAVID HUCKIN - PRESIDENT - NON-VARIABLE INSURANCE - HOUSTON, TX - SINCE 01/2022 - INVESTMENT RELATED

Registration and Employment History



Other Business Activities, continued

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of 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.

	Pending	Final	On Appeal
Regulatory Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

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 may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.
Sanction(s) Sought:	
Other Sanction(s) Sought:	
Date Initiated:	12/09/1982
Docket/Case Number:	TEX-331-AWC
Employing firm when activity occurred which led to the regulatory action:	
Product Type:	
Other Product Type(s):	
Allegations:	
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
Resolution Date:	12/09/1982
Sanctions Ordered:	Censure Monetary/Fine \$1,000.00



Other Sanctions Ordered:

Sanction Details:

Regulator Statement

COMP #TEX-331-AWC, FILED 12/9/82, DIST. #6 ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 10, 21(b) AND 27(a) - MADE PAYMENTS TO TWO INDIVIDUALS REGISTERED WITH OTHER ASSOCIATION MEMBERS, WHICH PAYMENTS WERE RELATED TO THE SALE OF ANNUITY PRODUCTS THROUGH RESPONDENT MEMBER, WITHOUT THE WRITTEN CONSENT OF THE INDIVIDUALS' EMPLOYERS; FAILED TO HAVE NEW ACCOUNT INFORMATION FOR FOUR CUSTOMERS ON FILE, TWENTY-TWO NEW ACCOUNT FORMS FAILED TO CONTAIN THE SIGNATURE OF THE REGISTERED REPRESENTATIVE INTRODUCING THE ACCOUNT AND THE PRINCIPAL WHO ACCEPTED THE ACCOUNTS AND FIVE NEW ACCOUNT FORMS FAILED TO INDICATE IF THE CUSTOMERS WERE OF LEGAL AGE; FAILED TO EVIDENCE IN WRITING THE PRINCIPAL'S REVIEW OF TRANSACTIONS EFFECTED BY THE FIRM'S REGISTERED REPRESENTATIVES; FAILED TO PREPARE AND MAINTAIN CURRENT, ACCURATE BOOKS AND RECORDS; FAILED TO MAINTAIN COPIES OF BANK STATEMENTS AND COPIES OF BANK ACCOUNT RECONCILIATIONS; FAILED TO CORRECTLY PREPARE A FOCUS REPORT, PART IIA; AND FAILED TO COMPLY WITH THE (K)(1) EXEMPTION PURSUANT TO SEC RULE 15C3-3 BY MAINTAINING AN ACTIVE COMMODITY TRADING ACCOUNT. THE LETTER OF ADMISSION, WAIVER AND CONSENT SUBMITTED BY HUCKIN WAS ACCEPTED; THEREFORE HE IS CENSURED AND FINED \$1,000. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THE LETTER OF AWC WAS FINAL 12/9/82. **FC #8351 PAID IN FULL 12-27-82.

Reporting Source: Broker

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/09/1982

Docket/Case Number: TEX-331-AWC



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

Product Type:

Other Product Type(s):

Allegations: SOME PURCHASE APPLICATIONS WERE NOT INITIATED
I PAID A KEMPER WHOLESALER, BILL UNDERHILL, A COMMISSION

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/09/1982

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: I PAID A FINE OF APPROX. 1000.00

Broker Statement Not Provided

End of Report



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