



State Securities Board

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KENNETH W. ANDERSON, JR.
MEMBER

SSB DOCKET NO. 01-16

IN THE MATTER OF THE
AGENT REGISTRATION OF
ROBERT TRAVIS EVANS

§
§
§

ORDER NO. CEN-1429

TO: Mr. Robert Travis Evans (CRD # 2724463)
The O.N. Equity Sales Company
P.O. Box 371
Cincinnati, OH 45242

DISCIPLINARY ORDER REPRIMANDING AN AGENT

Be it remembered that Robert Travis Evans ("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 Respondent by The Securities Act, TEX. REV. CIV. STAT. ANN. art. 581-1 et seq. (Vernon 1964 & Supp.2001) ("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOV'T CODE ANN. §2001.001 et seq. (Vernon Supp. 2001) ("Administrative Procedure Act").
2. Respondent is currently registered with the Securities Commissioner as an agent of The O.N. Equity Sales Company.
3. Respondent was previously registered with the Securities Commissioner as an agent of Washington Square Securities, Inc.
4. Respondent offered for sale and sold interests in a coin-operated customer-owned telephone program to one investor while employed with Washington Square Securities, Inc., without the consent or approval of his broker-dealer.
5. The interests in the coin-operated customer-owned telephone program is a security as defined in Section 4.A of the Texas Securities Act.

6. Respondent offered for sale and sold the securities which were not registered with the Securities Commissioner or exempt from registration in violation of Section 7 of the Texas Securities Act.
7. Respondent was not registered as a dealer with the Securities Commissioner to sell the securities, as required by Section 12 of the Texas Securities Act.
8. Respondent failed to amend his Form U-4 application filed with the Securities Commissioner as an agent of Washington Square Securities, Inc., to disclose this outside business activity and employment within 30 days, as required by Section 115.1(g) of the Rules and Regulations of the State Securities Board ("Board Rules") and the Form U-4 application.
9. Respondent failed to disclose this past employment on his application for registration as an agent of the O.N. Equity Sales Corporation as required by the Form U-4.
10. Pursuant to Section 101.2(c) of the Board Rules certain forms required to be filed with the Securities Commissioner, including the Form U-4, have been adopted as Board Rules.
11. Respondent has cooperated with the Enforcement Division in its investigation of this matter.
12. Respondent has reimbursed the investor, double the amount earned in commissions, from the sale of the security.

UNDERTAKING

1. Respondent hereby agrees to cooperate with any investigation by the Enforcement Division of the State Securities Board or other law enforcement agencies, relating to any employer who has engaged in the offer and/or sale of coin-operated customer-owned telephones programs, including but not limited to providing information or documents and testifying in any civil, administrative or criminal proceeding brought by this Agency or any other law enforcement entity or self regulatory organization.
2. Respondent hereby agrees not to engage in any business activity without being properly registered with the Securities Commissioner as required by Section 12 of the Texas Securities Act. In the event Respondent believes such activity is exempt from registration under Section 5 of the Texas Securities Act, respondent will not engage in such activity without first obtaining approval from his broker-dealer.
3. Respondent agrees not to engage in any outside business activity without receiving written approval from his broker-dealer prior to engaging in such activity.
4. Respondent agrees to immediately file an amended Form U-4 disclosing his past employment with National Communications Marketing, Inc., Communications Marketing Association, Inc., and ETS Payphones, Inc.

CONCLUSIONS OF LAW

Pursuant to Section 14.A(6) of the Texas Securities Act, the foregoing violations constitute a basis for the issuance of an order reprimanding an agent.

ORDER

It is therefore ORDERED that Robert Travis Evans is hereby REPRIMANDED.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 29th day
of May, 2001

Denise Voigt Crawford

DENISE VOIGT CRAWFORD
Securities Commissioner

Respondent:

R. T. Evans

Robert Travis Evans

Approved as to Form:

Michael S. Gunst

Michael S. Gunst
Director
Dealer Registration Division

David Grauer

David Grauer
Director
Enforcement Division

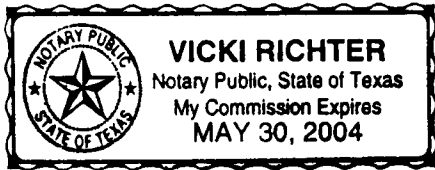
Benette L. Zivley

Benette L. Zivley
Attorney, Enforcement Division

ACKNOWLEDGMENT

On the 9th day of May, 2001, Robert Travis Evans ("Respondent"), 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 herein; and,
4. Respondent, by consenting to the entry of the foregoing Order, has knowingly and voluntarily waived his rights as set forth herein.



[affix notary seal here]

Vicki Richter
Notary Public in and for
the State of Texas

My commission expires on: May 30, 2004