

DENISE VOIGT CRAWFORD  
SECURITIES COMMISSIONER



NICHOLAS C. TAYLOR  
CHAIRMAN

JOHN R. MORGAN  
DEPUTY SECURITIES COMMISSIONER

DAN R. WALLER  
MEMBER

## State Securities Board

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JOSE ADAN TREVINO  
MEMBER

SSB Docket No. 99-005

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IN THE MATTER OF THE  
AGENT REGISTRATION OF  
RONALD P. HENDRICK

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§  
§

Order No. CEN/FIN-1334

TO: Ronald P. Hendrick (CRD # 3074568)  
505 N. Frost St.  
Pampa, TX 79054

### DISCIPLINARY ORDER REPRIMANDING AN AGENT

Be it remembered that Ronald P. Hendrick ("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 the 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. 1999) ("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOV'T CODE ANN. § 2001.001 et seq. (Vernon Supp. 1999) ("Administrative Procedure Act").
2. Respondent filed a bankruptcy petition on or about January 23, 1997.
3. The Form U-4 application for registration requires applicants to disclose the filing of a bankruptcy petition.
4. Respondent has been registered with the Securities Commissioner as an agent of Dean Witter Reynolds, Inc., from on or about August 21, 1998 to the present. While applying for registration with Dean Witter Reynolds, Inc., Respondent failed to disclose the filing of the bankruptcy petition on his Form U-4 application for

registration as required by that form. Respondent subsequently amended the Form to disclose the filing of the bankruptcy petition on or about September 23, 1998.

5. Pursuant to § 101.2(c) of the Rules and Regulations of the State Securities Board ("Board Rules") certain forms required to be filed with the Securities Commissioner, including Form U-4, have been adopted as Board Rules.

#### CONCLUSIONS OF LAW

1. A failure to disclose information required by Form U-4 constitutes a violation of a Board Rule.
2. The foregoing rule violation constitutes a violation of Sections 14.A(6) and 14.A(7) of the Texas Securities Act, which are bases for the issuance of an order reprimanding an agent.
3. Pursuant to Section 23-1 of the Texas Securities Act, the foregoing violations of the Texas Securities Act and Board Rules constitute bases for the issuance of an order assessing an administrative fine against an agent.

#### ORDER

1. It is therefore ORDERED that Respondent is hereby REPRIMANDED;
2. It is further ORDERED that Respondent is ASSESSED AN ADMINISTRATIVE FINE in the amount of Two Hundred Fifty Dollars (\$250.00). Payment shall be made by delivery of a cashier's check to the Securities Commissioner in the amount of Two Hundred Fifty Dollars (\$250.00), payable to the State of Texas, contemporaneously with the delivery of this Order.

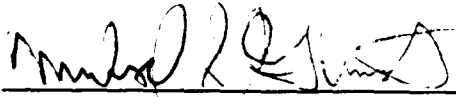
SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 1<sup>st</sup> day of February, 1999.

*Denise Voigt Crawford*  
DENISE VOIGT CRAWFORD  
Securities Commissioner

Respondent:  
Ronald P. Hendrick

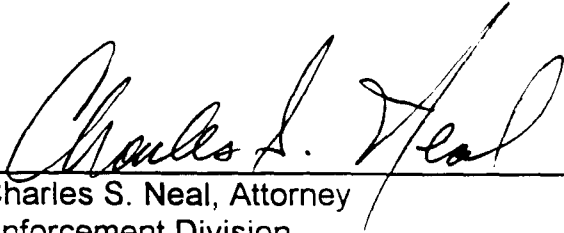
*Ron Hendrick*

Approved as to Form:



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Michael S. Gunst, Director  
Dealer Registration Division



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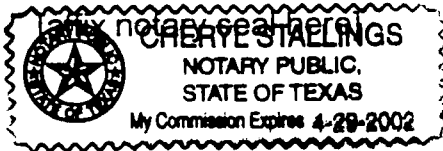
Charles S. Neal, Attorney  
Enforcement Division

**ACKNOWLEDGMENT**

On the 26<sup>th</sup> day of JANUARY, 1999, Ronald P. Hendrick, 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 Respondent's 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 Respondent's rights as set forth therein.

Cheryl Stallings  
Notary Public in and for  
the State of Texas



My commission expires on:

4-29-02