

**BEFORE THE SECURITIES COMMISSIONER  
OF THE STATE OF KANSAS**



In the Matter of:

HUGH E. CARTER (CRD #4953822),

Docket No. 12 E 022

KSC No. 2009-5605

Respondent.

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Pursuant to K.S.A. 17-12a412

**CONSENT ORDER**

**COMES NOW** the above-entitled action before the Kansas Securities Commissioner for further consideration. Upon due deliberation, the Commissioner finds as follows:

1. Respondent and staff for the Office of the Kansas Securities Commissioner have entered into a Stipulation for Consent Order in this matter.
2. In the above-referenced Stipulation, Respondent has waived his right to a hearing to contest the allegations contained in the Stipulation. Therefore, this Order may be issued without further proceedings.
3. Respondent neither admits nor denies the allegations contained in the Stipulation.
4. It is in the public interest and consistent with the purposes of the Kansas Uniform Securities Act that this Order be issued.

**WHEREFORE**, the Commissioner adopts the Allegations of Fact set forth in the Stipulation as true and correct Findings of Fact, and the Allegations of Law contained in the Stipulation as true and correct Conclusions of Law.

**IT IS THEREFORE ORDERED** by the Securities Commissioner that:

- a. Respondent is hereby fined \$2,500.00.
- b. Complete and full payment of said fine shall be delivered to the Office of the Kansas Securities Commissioner located at 109 SW 9<sup>th</sup> Street, Suite 600, Topeka, Kansas 66612 in the following amounts and by the following dates:
  - i. \$250.00 within 30 days of the date of the Consent Order,
  - ii. \$250.00 within 60 days of the date of the Consent Order,
  - iii. \$250.00 within 90 days of the date of the Consent Order,
  - iv. \$250.00 within 120 days of the date of the Consent Order,
  - v. \$250.00 within 150 days of the date of the Consent Order,
  - vi. \$250.00 within 180 days of the date of the Consent Order,
  - vii. \$250.00 within 210 days of the date of the Consent Order,
  - viii. \$250.00 within 240 days of the date of the Consent Order,
  - ix. \$250.00 within 270 days of the date of the Consent Order, and
  - x. \$250.00 within 300 days of the date of the Consent Order.
- c. Said payments shall be paid in the form of cashier's checks or money orders made payable to the Office of the Kansas Securities Commissioner.
- d. The Respondent's registration as an agent of a broker-dealer and investment adviser representative in the State of Kansas is hereby conditioned on the Respondent completing the payments described herein.

**IT IS SO ORDERED BY THE COMMISSIONER.**

Entered at Topeka, Kansas, this 10<sup>th</sup> day of August, 2012.



Aaron Jack  
Securities Commissioner  
State of Kansas

**NOTICE:**

**This decision may constitute final agency action that is subject to judicial review. The agency officer to receive service of a petition for judicial review on behalf of the Office of the Securities Commissioner is Aaron Jack, Securities Commissioner, at 109 SW 9<sup>th</sup> St., Suite 600, Topeka, Kansas, 66612.**