

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
204 NORTH ROBINSON, SUITE 400  
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Chad Michael Rogers (CRD #4029698),

Respondent.

ODS File 18-022

**AGREEMENT**

**THIS AGREEMENT** is entered into between Chad Michael Rogers (“Respondent”) and the Administrator of the Oklahoma Department of Securities (the “Administrator” and the “Department”) (collectively, the “Parties”), as of the Effective Date set forth below.

Respondent is a resident of Oklahoma. Respondent is registered under the Oklahoma Uniform Securities Act of 2004 (“Act”), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011 and Supp. 2016), as an agent of The O.N. Equity Sales Company.

Respondent willfully failed to timely amend his Form U-4 to disclose five liens filed against him. Section 1-406(B) of the Act requires that when any information contained in an application becomes incomplete or inaccurate in any material respect the registrant shall promptly file a correcting amendment. Article 5, Section 2(c) of the Bylaws of the Financial Industry Regulatory Authority (“FINRA”) requires that all applications filed with FINRA be kept current and amendments to a registrant’s application be filed within 30 days after learning of the facts or circumstances giving rise to the amendment. In one instance, Respondent failed to amend his Form U-4 until 5 years after he had knowledge of the lien. With respect to the other four liens, Respondent failed to amend his Form U-4 until 1 to 2 years after he had knowledge of the liens.

On September 14, 2017, the Enforcement Division of the Department filed an Enforcement Division Recommendation with the Administrator seeking an order of censure and the imposition of a civil penalty.

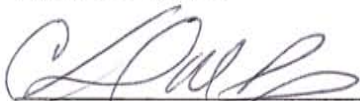
Respondent voluntarily enters into this Agreement as a resolution to the conduct described above. Respondent waives the initiation of an individual proceeding and adjudication of any issue of law or fact.

The Parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject matter of this Agreement.

2. **Censure.** The Administrator will issue an order of censure in the form attached hereto as "Exhibit A."
3. **Civil Penalty.** Respondent will pay a civil penalty in the amount of \$1,000 to the Department's Investor Education Revolving Fund within ten (10) days of the entry of the order of censure referenced in number 2 above.
4. **No Coercion.** Respondent enters into this Agreement voluntarily and without any duress, undue influence, or coercion by the Administrator, any employee of the Department, or any member of the Oklahoma Securities Commission.
5. **Public Record.** This Agreement is a public record and will be available for public examination, pursuant to Section 1-607 of the Act.
6. **Consideration.** In consideration for this Agreement, the Administrator will not take further action against Respondent in connection with the conduct alleged herein, except as provided for in paragraphs 7 and 8 below.
7. **Failure to Comply.** If Respondent fails to comply with this Agreement, this Agreement shall be treated as an order issued under the Act, and the Administrator may take any action authorized by law.
8. **Limitation on Agreement.** Nothing in this Agreement shall prohibit the Administrator from furnishing information to any other properly constituted agency or authority. In the event any other agency or authority commences an action against Respondent based upon information obtained from the Administrator, the Administrator may assist in such action as authorized by law.
9. **Entire Agreement.** This writing constitutes the entire agreement of the Parties with respect to the subject matter hereof and supersedes any and all prior and contemporaneous agreements, representations and understandings of the Parties. No supplement, modification or amendment to this Agreement shall be binding unless executed in writing by each of the Parties hereto.
10. **Applicability.** This Agreement applies only to the activities of Respondent, and to no others.
11. **Effective Date.** This Agreement shall be effective as of the date on which it is signed by the Administrator as set forth below his signature hereto.

The Parties have executed this Agreement as of the date and year set forth below their signatures hereto.



Chad Michael Rogers (CRD No. 4029698)

Date: 11/14/2017

**OKLAHOMA DEPARTMENT OF SECURITIES**

By:   
Irving L. Faught, Administrator

Date: 11/17/17

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
FIRST NATIONAL CENTER, SUITE 860  
120 NORTH ROBINSON  
OKLAHOMA CITY, OKLAHOMA 73102

In the Matter of:

Chad Michael Rogers (CRD #4029698),

Respondent.

ODS File 18-022

**ORDER OF CENSURE**

The Administrator of the Oklahoma Department of Securities issues this Order against Chad Michael Rogers ("Respondent") pursuant to Section 1-411 of the Oklahoma Uniform Securities Act of 2004, Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011 and Supp. 2016), Rule 660:2-5-3 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities (as adopted effective November 1, 2016), and the Agreement between Respondent and the Administrator that is attached hereto and incorporated herein by reference.

**IT IS HEREBY ORDERED** that the Respondent is censured for failure to timely amend his Form U-4 to disclose liens filed against him.

Witness my Hand and the Official Seal of the Oklahoma Department of Securities this \_\_\_\_ day of October, 2017.

(SEAL)

\_\_\_\_\_  
IRVING L. FAUGHT, ADMINISTRATOR OF THE  
OKLAHOMA DEPARTMENT OF SECURITIES



CERTIFICATE OF SERVICE

The undersigned hereby certifies that on the \_\_\_\_ day of October, 2017, a true and correct copy of the above and foregoing Order of Censure was mailed by certified mail, return receipt requested, delivery restricted, with postage prepaid thereon, addressed to:

Chad Michael Rogers  
755 County ST 2925  
Tuttle, OK 73089

Chad Michael Rogers  
12324 S. Western Ave, Suite B  
Oklahoma City, OK 73170

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Brenda London, Paralegal

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DEPARTMENT OF SECURITIES  
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Witness my Hand and the Official Seal of the Oklahoma Department of Securities this 17<sup>th</sup> day of ~~October~~, 2017.  
November

(SEAL)

  
\_\_\_\_\_  
IRVING L. FAUGHT, ADMINISTRATOR OF THE  
OKLAHOMA DEPARTMENT OF SECURITIES

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