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ARKANSAS SECURITIES DE

BEFORE THE ARKANSAS SECURITIES COMMISSIONER

CASE NO. S-14-0036

IN THE MATTER OF:

ORDER NO. S-14-0036-14-OR01

DENNIS OFFICER

RESPONDENT

CONSENT ORDER

This Consent Order is entered pursuant to the Arkansas Securities Act (“Act”), Ark. Code Ann. §§ 23-42-101 through 23-42-509, the Rules of the Arkansas Securities Commissioner (“Rules”), and the Arkansas Administrative Procedures Act, Ark. Code Ann. §§ 25-15-101 through 25-15-219, in accordance with an agreement by and between the Staff of the Arkansas Securities Department (“Staff”) and Dennis T. Officer (“Officer”), CRD # 2859771, in full and final settlement of all claims that could be brought against Officer by the Staff on the basis of the facts set forth herein.

The respondent admits the jurisdiction of the Act and the Arkansas Securities Commissioner (“Commissioner”), waives his right to a formal hearing and without admitting or denying the findings of fact made herein, consents to the entry of this order.

FINDINGS OF FACT

1. Officer is the owner and only investment adviser representative of Lexington Research and Capital Group, LLC (“Lexington”), CRD # 108576, an investment adviser registered with the Securities and Exchange Commission (“SEC”). Lexington has been registered as an SEC investment adviser since 2000 with a principal place of business in Kentucky until 2013. Prior to registering with the SEC, Officer and Lexington, conducted investment advisory business as a state registered investment adviser in Kentucky.
2. In March of 2013 Officer relocated the principal place of business of Lexington to Fayetteville, Arkansas. After moving Lexington to Arkansas, Officer transacted business in Arkansas as a representative of the SEC registered investment adviser without registering in Arkansas.

3. On April 1, 2014, Officer applied for registration in Arkansas as a representative of Lexington.

CONCLUSIONS OF LAW

4. The actions by Officer to transact business as an investment adviser representative of Lexington without being registered constitute violations of Ark. Code Ann. § 23-42-301(c).

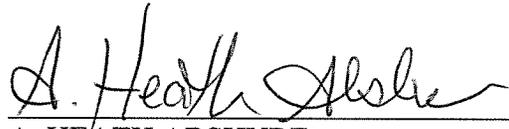
5. Pursuant to § 23-42-308(h) of the Act, matters may be resolved by consent order without a formal proceeding.

ORDER

By agreement and with the consent of the Staff, Dennis Officer, and Lexington Research and Capital Group, LLC it is hereby ordered that the registration of Dennis Officer as a representative of Lexington Research and Capital Group, LLC is approved with the execution of this order.

It is also ordered that Dennis Officer and Lexington Research and Capital Group, LLC shall pay a fine in the amount of \$3,000 to the Arkansas Securities Department. The payment of said fine shall be submitted to the Arkansas Securities Department with the consent to this order by Officer.

IT IS SO ORDERED.

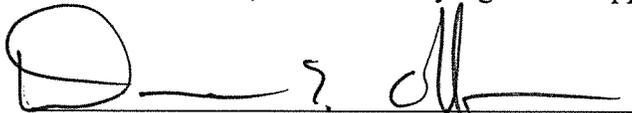


A. HEATH ABSHURE
Arkansas Securities Commissioner

April 29th 2014

DATE

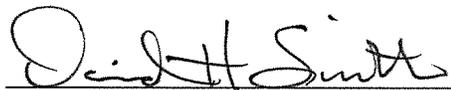
I hereby agree to the entry of this Consent Order, and consent to all terms, conditions, and orders contained therein, and waive any right to an appeal from this order.



Dennis T. Officer (CRD # 28597M)

4/23/2014

DATE



David H. Smith, Chief Counsel
Arkansas Securities Department

4-28-2014

DATE