

BEFORE THE ARKANSAS SECURITIES COMMISSIONER

Case No. S-17-0106

Order No. S-17-0106-17-OR01

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ARKANSAS SECURITIES DEPT.

IN THE MATTER OF:

AMIE ELIZABETH FIELDER

RESPONDENT

CONSENT ORDER

This Consent Order is entered pursuant to the Arkansas Securities Act (“Act”), codified at Ark Code Ann. §§ 23-42-101 through 23-42-509, the Rules of the Arkansas Securities Commissioner promulgated pursuant to the Act (“Rules”), and the Administrative Procedures Act, codified at Ark. Code Ann. §§ 25-15-201 through 25-15-219, in accordance with an agreement between the Staff of the Arkansas Securities Department (“Staff”) and the Respondent, Amie Elizabeth Fielder (“Fielder”).

Fielder admits the jurisdiction of the Act and the Arkansas Securities Commissioner (“Commissioner”), waives her right to a formal hearing and appeal, consents to the entry of this Order, and agrees to abide by its terms in settlement of any possible violations that could be brought against her in relation to the matters detailed herein.

FINDINGS OF FACT

1. Fielder, CRD No. 5135892, was previously registered with the Arkansas Securities Department (“Department”) as a broker-dealer agent with Arvest Wealth Management (“Arvest”), CRD No. 42057. On July 26, 2017, Fielder’s employment with Arvest was terminated for violations of firm policy regarding client signatures on account paperwork. It was found that Fielder was responsible for having clients pre-sign blank or incomplete account documents.

2. On September 12, 2017, Fielder submitted an application to be registered as a broker-dealer agent with Thrasher & Chambers, Inc. (“TCI”), CRD No. 3586, an Arkansas registered broker-dealer. As part of Fielder’s application, TCI has assured the Staff that it has in place the proper internal controls and supervisory procedures necessary to closely monitor Fielder’s activities on an ongoing basis.

3. Fielder has cooperated with the Staff during the pendency of her registration application.

CONCLUSIONS OF LAW

4. Rule 308.01(y) of the Rules prohibits a registered agent from engaging in unfair, misleading, or unethical practices in this industry. Fielder violated Rule 308.01(y) of the Rules with her actions involving clients pre-signing blank or incomplete account documents.

5. Ark. Code Ann. § 23-42-302(a)(2) provides in part that the Commissioner may by order approve a registration with such limitations, qualifications, or conditions as the Commissioner deems appropriate.

6. Ark. Code Ann. § 23-42-308(h) provides that matters may be resolved by consent order in lieu of a formal proceeding.

UNDERTAKINGS

In settlement of this matter, Fielder agrees to pay a fine to the Department in the amount of \$2,000.00 upon the entry of this Order.

OPINION

This Order is in the public interest. The facts as set forth in paragraphs one through three support the violations of the Act and Rules and set forth in paragraphs four through six.

ORDER

IT IS THEREFORE ORDERED that in accordance with her undertaking Fielder shall in all future activity as a registrant fully comply with the Act and Rules and pay a fine of \$2,000.00 to the Department upon the entry of this Order.

IT IS FURTHER ORDERED that upon payment of the fine and entry of this Order that Fielder's application for registration as a broker-dealer agent with TCI be approved.

IT IS SO ORDERED, this the 5th day of October, 2017.



B. Edmond Waters
Arkansas Securities Commissioner

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

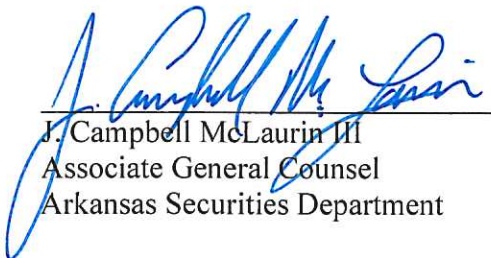


Amie Elizabeth Fielder, Respondent

10/4/17

Date

Approved as to Content and Form:



J. Campbell McLaurin III
Associate General Counsel
Arkansas Securities Department

10/5/17

Date