

**NASD
OFFICE OF HEARING OFFICERS**

Department of Enforcement,

Complainant,

v.

Paul R. Hunt
CRD No. 4304579

Respondent.

Disciplinary Proceeding
No. 2005000308802

Hearing Officer: AWH

**ORDER ACCEPTING OFFER OF
SETTLEMENT**

INTRODUCTION

Disciplinary Proceeding No. 2005000308801 was filed on August 31, 2005, by the Department of Enforcement of NASD ("Complainant"). Respondent Hunt submitted an Offer of Settlement ("Offer") to Complainant on September 27, 2005. Pursuant to Code of Procedure Rule 9270(e), the Complainant and the National Adjudicatory Council ("NAC") Review Subcommittee or the Office of Disciplinary Affairs ("ODA") have accepted the uncontested Offer. Accordingly, this Order now is issued pursuant to Code of Procedure Rule 9270(e)(3). The findings, conclusions and sanctions set forth in this Order are those stated in the Offer as accepted by the Complainant and approved by the NAC.

Under the terms of the Offer, Respondent has consented for the purpose of this proceeding and any other proceeding in which NASD is a party, without admitting or denying the allegations of the Complaint, to the entry of findings of facts and violations consistent with the allegations of the Complaint, and to the imposition of the sanctions set forth below, and fully understands that this Order will become part of Respondent's permanent disciplinary record and may be considered in any future actions brought by NASD.

BACKGROUND

Respondent Hunt was registered with NASD member Edward Jones as a general securities representative from February 13, 2001 until November 18, 2004. His employment end date with Edward

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Jones was November 17, 2004. He is not currently registered with an NASD member firm and has no prior disciplinary history.

FINDINGS AND CONCLUSIONS

It has been determined that the Offer be accepted and that findings be made as follows:

- (1) In or about August and September 2004, Respondent Hunt effected or caused to be effected four unauthorized transactions in the joint account of customers E&LW, without the customers' prior knowledge or authorization, in violation of NASD Conduct Rules 2110 and IM-2310-2.
- (2) Respondent Hunt failed to respond to two staff's Rule 8210 information requests, in violations of NASD Procedural Rule 8210 and NASD Conduct Rule 2110

Based on these considerations, the sanctions hereby imposed by the acceptance of the Offer are in the public interest, are sufficiently remedial to deter Respondent from any future misconduct, and represent a proper discharge by NASD of its regulatory responsibility under the Securities Exchange Act of 1934.

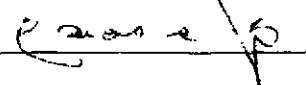
SANCTIONS

It is ordered that Respondent Hunt be barred from association with any NASD member in all capacities. The bar shall become effective upon approval or acceptance of this Order by the NAC.

SO ORDERED.

NASD

Signed on behalf of the Director of
ODA, by delegated authority

By: 

Gene E. Carasick, Regional Counsel
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October 17, 2005