

**STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT**

IN THE MATTER OF, Enrique Guido Pflucker )  
\_\_\_\_\_ )  
\_\_\_\_\_ )

File: 1200340

**Consent Order of Dismissal**

TO THE RESPONDENT:

Enrique Guido Pflucker  
(CRD# 4789342)  
94 Oakley Ave  
Elmont, NY 11003

C/o Legend Securities  
45 Broadway, 32<sup>nd</sup> Fl  
New York, NY 10006

WHEREAS, Respondent on the 24<sup>th</sup> day of January, 2013 executed a certain Stipulation to Enter Consent Order of Dismissal (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, Respondent has admitted to the jurisdiction of the Secretary of State and service of the Notice of Hearing of the Secretary of State, Securities Department, dated November 30, 2012, in this proceeding (the "Notice") and Respondent has consented to the entry of this Consent Order of Dismissal ("Consent Order").

1. That on October 3, 2012, Legend Securities, Inc. a registered dealer, filed a Form U-4 application for registration of the Respondent as a salesperson in the State of Illinois pursuant to Section 8 of the Act.
2. That on July 3, 2012 FINRA entered a Letter of Acceptance; Waiver and Consent (AWC) submitted by the Respondent regarding File No. 2010025736701 which sanctioned the Respondent as follows:

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- a. fined \$2,500; and
  - b. suspension from associating with any FINRA member in any and all capacities for a period of ten (10) business days.
3. That the AWC found:

**FACTS AND VIOLATIVE CONDUCT**

Between September 2009 and October 2009 for PHD customer JK and between September 2010 and March 2011 for Rockwell customer BP, Respondent utilized time and price discretion in their accounts beyond the end of the business days on which the customers granted such discretion. Neither customer had provided respondent with prior written authorization granting him such discretionary power in their accounts and the accounts had not been accepted by his employer firms PHD and Rockwell as discretionary accounts. By reason of the foregoing, Respondent violated NASD Conduct Rule 2510 and FINRA Rule 2010.

4. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson may be denied if the Secretary of State finds that such Salesperson has been suspended by any self-regulatory organization registered under the Federal 1934 Act or the Federal 1974 Act arising from any fraudulent or deceptive act or practice in violation of any rule, regulation or standard duly promulgated by the self regulatory Organization.
5. That FINRA is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.

WHEREAS, by means of the Stipulation Respondent has acknowledged, without admitting or denying the averments, that the following shall be adopted as the Secretary of State's Conclusion of Law:

Respondent's application for registration as a salesperson in the State of Illinois is subject to DENIAL pursuant to Section 8.E(1)(j) of the Act.

WHEREAS, by mean of the Stipulation Respondent has acknowledged and agreed that he has executed a certain Affidavit, which contains undertaking that he will adhere to upon entry of this Consent Order. Said Affidavit is incorporated herein and made a part hereof.

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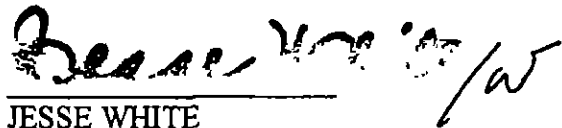
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WHEREAS, the Secretary of State, by and through his duly authorized representative, has determined that the matter related to the aforesaid formal hearing be dismissed without further proceedings.

NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED THAT:

1. The Notice of Hearing dated November 30, 2012 is dismissed.
2. The Respondent shall comply with all of the terms and conditions contained in her accompanying Affidavit, which has been made a part of this Order.
3. The formal hearing scheduled on this matter is hereby dismissed without further proceedings.

ENTERED: This 25<sup>th</sup> day of January 2013

A handwritten signature in black ink, appearing to read "Jesse White" with a stylized flourish at the end.

JESSE WHITE  
Secretary of State  
State of Illinois