

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



In the Matter of:

Troy A. Orlando,

Respondent.

ODS File 17-005

AGREEMENT

THIS AGREEMENT is entered into between Troy A. Orlando (CRD #6055474) ("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 New Jersey. On July 21, 2016, Respondent applied for registration under the Oklahoma Uniform Securities Act of 2004 ("**Act**"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011), as an agent of Spartan Capital Securities, LLC ("**Spartan**"), a broker-dealer registered under the Act. Respondent's application for registration is still pending.

In July 2015, the Securities Division of the New Mexico Regulation and Licensing Department entered a Notice of Contemplated Action alleging that Respondent violated certain provisions of the New Mexico Uniform Securities Act while associated with a broker-dealer other than Spartan. The matter is still pending.

To resolve the Department's concerns regarding the pending allegations against him, Respondent voluntarily enters into this Agreement without admitting or denying any violations of the New Mexico Uniform Securities Act.

The Parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject matter of this Agreement.
2. **Registration.** Respondent's application for registration under the Act as an agent of Spartan will be approved within two business days of the Effective Date of this Agreement.
3. **Respondent's Location.** For one year beginning on the approval date of Respondent's application for registration under the Act as an agent of Spartan and so long as Respondent is registered under the Act as an

agent of Spartan, Respondent will conduct his securities business from Spartan's home office where he will be subject to on-site supervision.

4. **Compliance with Act.** Respondent will comply with all applicable provisions of the Act and the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities including, but not limited to, Rule 660:11-5-42.

5. **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.

6. **Public Record.** This Agreement is a public record and will be available for public examination, pursuant to Section 1-607 of the Act.

7. **Consideration.** The consideration for this Agreement is set forth in paragraph 2 above.

8. **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 including, but not limited to, revoking Respondent's registration under the Act.

9. **Limitation on Agreement.** Nothing in this Agreement shall prohibit the Administrator from taking further action against Respondent in the event an order is issued against him by the State of New Mexico or any other state or regulatory agency. Further, 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 or by the Administrator, the Administrator may assist in such action as authorized by law.

10. **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.

11. **Applicability.** This Agreement applies only to the activities of Respondent, and to no others. It is further agreed that the execution of this Agreement does not mean that the Administrator has approved, condoned or passed in any way upon the merits or qualifications of, or

recommended, the transactions to which it relates or any future securities transactions.

12. **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.



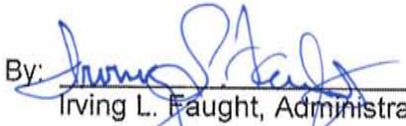
TROY A. ORLANDO (CRD #6055474)

Date: 8/15/16

Subscribed and sworn before me
This 15 day of Aug 2016
by Anthony M. Monaco
Notary Public

ANTHONY M. MONACO
Notary Public, State of New York
No. 01MO6171824
Qualified In Suffolk County
Commission Expires 07/30/2019

OKLAHOMA DEPARTMENT OF SECURITIES

By: 

Irving L. Faught, Administrator

Date: August 15, 2016