

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



In the Matter of:

Robert Lyndon Taylor (CRD No. 1423130),

Respondent.

ODS File No. 18-013

AGREEMENT

THIS AGREEMENT is entered into between Robert Lyndon Taylor (“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 Oklahoma. Respondent was registered under the Oklahoma Uniform Securities Act of 2004 (“Act”), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011 and Supp. 2016), as an agent of Voya Financial Advisors, Inc., (“Voya”) from October 20, 1995, to August 16, 2017. Respondent was also registered as an investment adviser representative of Voya from August 2, 1996, to August 16, 2017.

Respondent willfully failed to timely amend his Form U-4 to disclose a felony and his subsequent guilty plea. Respondent was arrested on December 2, 2015, and formally charged with a felony on February 10, 2016. He subsequently pled guilty to the felony charge on June 16, 2016. Section 1-406(B) of the Act requires that when any information contained in an application becomes incomplete or inaccurate in any material respect the registrant shall promptly file a correcting amendment. Article 5, Section 2(c) of the Bylaws of the Financial Industry Regulatory Authority (“FINRA”) requires that all applications filed with FINRA be kept current and amendments to a registrant’s application be filed within 30 days after learning of the facts or circumstances giving rise to the amendment. Respondent’s Form U-4 was not updated to reflect the conviction and guilty plea until September 13, 2016.

On October 3, 2017, the Enforcement Division of the Department filed an Enforcement Division Recommendation (“Recommendation”) with the Administrator seeking an order censuring Respondent and a civil penalty.

Respondent voluntarily enters into this Agreement in resolution of the conduct described in the Recommendation. Respondent waives the initiation of an individual proceeding and adjudication of any issue of law or fact.

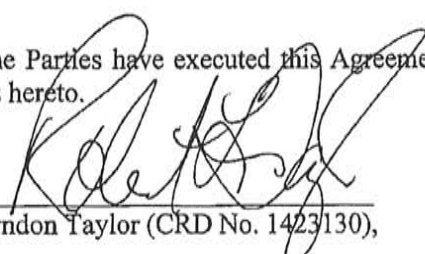
The Parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject

matter of this Agreement.

2. **Civil Penalty.** Should Respondent reapply for registration under the Act, Respondent will pay a civil penalty in the amount of \$1,000 to the Department's Investor Education Revolving Fund within thirty (30) days of making such application.
3. **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.
4. **Public Record.** This Agreement is a public record and will be available for public examination, pursuant to Section 1-607 of the Act.
5. **Consideration.** In consideration for this Agreement, the Administrator will not take further action against Respondent in connection with the conduct alleged in the Recommendation, except as provided for in paragraphs 6 and 7 below.
6. **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.
7. **Limitation on Agreement.** 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 the Administrator, the Administrator may assist in such action as authorized by law.
8. **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.
9. **Applicability.** This Agreement applies only to the activities of Respondent, and to no others.
10. **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.


Robert Lyndon Taylor (CRD No. 1423130),

Date: 11-1-17

OKLAHOMA DEPARTMENT OF SECURITIES

By: Irving L. Faught
Irving L. Faught, Administrator

Date: 11/03/17