



IAPD Report

DAVID LAWRENCE HUCKIN

CRD# 853863

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Please contact FINRA with any concerns.



IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page <http://www.nasaa.org/IAPD/IARReports.cfm>

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association <http://www.nasaa.org>



Report Summary

DAVID LAWRENCE HUCKIN (CRD# 853863)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **08/06/2025**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	01/03/2022
IA	UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER	CRD# 20804	01/03/2022

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **13** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.

Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	HUCKIN FINANCIAL GROUP, INC.	8593	Corona Del Mar, CA	02/25/1981 - 02/01/2022
IA	HUCKIN FINANCIAL GROUP, INC.	8593	Corona Del Mar, CA	08/23/1983 - 12/31/2021
B	NEW ENGLAND SECURITIES	615	NEW YORK, NY	04/10/1986 - 03/05/1990

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1



Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works. This individual is currently registered with **13** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name: **UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A LIMITED PARTNER**

Main Address: 7333 EAST DOUBLETREE RANCH RD, SUITE 120
SCOTTSDALE, AZ 85258

Firm ID#: 20804

Regulator	Registration	Status	Date
B FINRA	Direct Participation Programs	Approved	01/03/2022
B FINRA	Direct Participation Programs Principal	Approved	01/03/2022
B FINRA	Invest. Co and Variable Contracts	Approved	01/03/2022
B FINRA	Investment Co./Variable Contracts Prin	Approved	01/03/2022
B FINRA	Operations Professional	Approved	01/03/2022
B California	Agent	Approved	01/06/2022
B Colorado	Agent	Approved	01/13/2022
B Florida	Agent	Approved	01/04/2022
B Illinois	Agent	Approved	02/22/2022
B Louisiana	Agent	Approved	02/02/2022
B Michigan	Agent	Approved	01/10/2022
B Minnesota	Agent	Approved	08/19/2025
B North Carolina	Agent	Approved	03/15/2022



Qualifications

Regulator	Registration	Status	Date
B Ohio	Agent	Approved	01/07/2022
B Pennsylvania	Agent	Approved	01/12/2022
IA Texas	Investment Adviser Representative	Approved	01/03/2022
B Texas	Agent	Approved	01/04/2022
B Washington	Agent	Approved	03/14/2022
B Wisconsin	Agent	Approved	01/07/2022

Branch Office Locations

**UNITED PLANNERS' FINANCIAL SERVICES OF AMERICA A
LIMITED PARTNER**
4265 SAN FELIPE
STE. 510
HOUSTON, TX 77027



Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 2 principal/supervisory exams, 5 general industry/product exams, and 0 state securities law exams.

Principal/Supervisory Exams

	Exam	Category	Date
	Direct Participation Programs Principal Examination (S39)	Series 39	06/23/1983
	Investment Company Products/Variable Contracts Principal Examination (S26)	Series 26	02/03/1981

General Industry/Product Exams

	Exam	Category	Date
	Investment Company Products/Variable Contracts Representative Examination (S6TO)	Series 6TO	01/02/2023
	Direct Participation Programs Representative Examination (S22TO)	Series 22TO	01/02/2023
	Operations Professional Examination (S99TO)	Series 99TO	01/02/2023
	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
	Registered Representative Examination (S1)	Series 1	06/13/1978

State Securities Law Exams

	Exam	Category	Date
	No information reported.		

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	02/25/1981 - 02/01/2022	HUCKIN FINANCIAL GROUP, INC.	CRD# 8593	Corona Del Mar, CA
IA	08/23/1983 - 12/31/2021	HUCKIN FINANCIAL GROUP, INC.	CRD# 8593	Corona Del Mar, CA
B	04/10/1986 - 03/05/1990	NEW ENGLAND SECURITIES	CRD# 615	NEW YORK, NY
B	06/19/1983 - 09/04/1984	AETNA LIFE INSURANCE AND ANNUITY COMPANY	CRD# 13256	
B	06/26/1978 - 02/25/1981	H. C. COPELAND AND ASSOCIATES EQUITIES, INC.	CRD# 7447	

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2022 - Present	David Huckin	President	Y	Houston, TX, United States
01/2022 - Present	UNITED PLANNERS FINANCIAL SERVICES	REGISTERED REPRESENTATIVE	Y	SCOTTSDALE, AZ, United States
02/1981 - Present	HUCKIN FINANCIAL GROUP	PRINCIPAL	Y	HOUSTON, TX, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

- 1.) HUCKIN FINANCIAL GROUP INC - PRESIDENT - DBA NAME FOR MARKETING PURPOSES ONLY - HOUSTON, TX - SINCE 01/2022 - INVESTMENT RELATED
- 2.) HUCKIN TRAVEL AGENCY - OWNER - TRAVEL AGENCY USED FOR PERSONAL REASONS, NO INCOME OR EXPENSES GENERATED IN THE PAST 3 YEARS - HOUSTON, TX - SINCE 01/1990 - NOT INVESTMENT RELATED
- 3.) DAVID HUCKIN - PRESIDENT - NON-VARIABLE INSURANCE - HOUSTON, TX - SINCE 01/2022 - INVESTMENT RELATED



Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
 - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated*, *settled* or *otherwise resolved*.
 - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
 - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.



DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	1

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 1

Reporting Source: Regulator

Regulatory Action Initiated By: NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/09/1982

Docket/Case Number: TEX-331-AWC

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations:

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/09/1982

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details:

Regulator Statement COMP #TEX-331-AWC, FILED 12/9/82, DIST. #6 ALLEGING VIOLATIONS OF ARTICLE III, SECTIONS 1, 10, 21(b) AND 27(a) - MADE PAYMENTS



TO TWO INDIVIDUALS REGISTERED WITH OTHER ASSOCIATION MEMBERS, WHICH PAYMENTS WERE RELATED TO THE SALE OF ANNUITY PRODUCTS THROUGH RESPONDENT MEMBER, WITHOUT THE WRITTEN CONSENT OF THE INDIVIDUALS' EMPLOYERS; FAILED TO HAVE NEW ACCOUNT INFORMATION FOR FOUR CUSTOMERS ON FILE, TWENTY-TWO NEW ACCOUNT FORMS FAILED TO CONTAIN THE SIGNATURE OF THE REGISTERED REPRESENTATIVE INTRODUCING THE ACCOUNT AND THE PRINCIPAL WHO ACCEPTED THE ACCOUNTS AND FIVE NEW ACCOUNT FORMS FAILED TO INDICATE IF THE CUSTOMERS WERE OF LEGAL AGE; FAILED TO EVIDENCE IN WRITING THE PRINCIPAL'S REVIEW OF TRANSACTIONS EFFECTED BY THE FIRM'S REGISTERED REPRESENTATIVES; FAILED TO PREPARE AND MAINTAIN CURRENT, ACCURATE BOOKS AND RECORDS; FAILED TO MAINTAIN COPIES OF BANK STATEMENTS AND COPIES OF BANK ACCOUNT RECONCILIATIONS; FAILED TO CORRECTLY PREPARE A FOCUS REPORT, PART IIA; AND FAILED TO COMPLY WITH THE (K)(1) EXEMPTION PURSUANT TO SEC RULE 15C3-3 BY MAINTAINING AN ACTIVE COMMODITY TRADING ACCOUNT. THE LETTER OF ADMISSION, WAIVER AND CONSENT SUBMITTED BY HUCKIN WAS ACCEPTED; THEREFORE HE IS CENSURED AND FINED \$1,000. ALL RIGHTS OF APPEAL AND REVIEW HAVE BEEN WAIVED, THE LETTER OF AWC WAS FINAL 12/9/82. **FC #8351 PAID IN FULL 12-27-82.

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Reporting Source: Individual

Regulatory Action Initiated By: NASD

Sanction(s) Sought:

Other Sanction(s) Sought:

Date Initiated: 12/09/1982

Docket/Case Number: TEX-331-AWC

Employing firm when activity occurred which led to the regulatory action:

Product Type:

Other Product Type(s):

Allegations: SOME PURCHASE APPLICATIONS WERE NOT INITIATED I PAID A KEMPER WHOLESALER, BILL UNDERHILL, A COMMISSION

Current Status: Final

Resolution: Acceptance, Waiver & Consent(AWC)

Resolution Date: 12/09/1982

Sanctions Ordered: Censure
Monetary/Fine \$1,000.00

Other Sanctions Ordered:

Sanction Details: I PAID A FINE OF APPROX. 1000.00

Broker Statement Not Provided



End of Report

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