

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



In the Matter of:

MAX L. MASON,  
CRD No. 2144049,

Respondent.

File No. ODS 17-043

**NOTICE OF INTENT TO REVOKE REGISTRATION  
AND OPPORTUNITY FOR HEARING**

1. On December 15, 2016, the Oklahoma Tax Commission ("OTC") issued a notice, Letter ID: L1331924096 ("OTC Notice"), to the Oklahoma Department of Securities ("Department") listing the individuals who were registered as broker-dealer agents and investment adviser representatives under the Oklahoma Uniform Securities Act of 2004 ("Securities Act"), 71 O.S.Supp.2016, §§ 1-101 through 1-701, and who, according to its records, had not complied with their income tax responsibilities under Oklahoma law as of December 15, 2016. The OTC Notice stated that it was provided pursuant to the requirements of 68 O.S. § 238.1. Respondent was included in the OTC Notice.

2. Based on 68 O.S. § 238.1, any registrations under the Securities Act of individuals who were listed in the OTC Notice were not to be renewed.

3. The registration of broker-dealer agents and investment adviser representatives under the Securities Act is accomplished through the Central Registration Depository ("CRD") operated by FINRA.

4. The OTC Notice was not received timely by appropriate Department staff in order to take the necessary steps to block the renewals of the pertinent registrations through the CRD. Thus the registrations of Respondent were renewed, effective January 1, 2017.

5. To fulfill the intent of 68 O.S. § 238.1, the Administrator intends to revoke such registrations.

6. The Administrator hereby gives notice to Respondent of the right to request a hearing to show why a revocation order based on the OTC Notice should not be issued.

7. The Administrator must receive a request for a hearing on the Administrator's intended action based on the OTC Notice within fifteen (15) days after service of this Notice ("ODS Notice") on Respondent. Failure to request a hearing as provided for herein shall result

in the issuance of an order to revoke Respondent's registrations as a broker-dealer agent and as an investment adviser representative.

8. A request for hearing shall be in writing and Respondent shall specifically admit or deny each allegation in the ODS Notice as required by 660:2-9-2(a) of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities ("Rules").

9. Upon timely receipt of a written request, the Administrator shall promptly schedule a hearing on this matter or shall issue a written order denying hearing pursuant to 660:2-9-2(b) of the Rules.

10. Notice of the date, time and location of the hearing shall be given to Respondent not less than forty-five (45) days in advance thereof pursuant to 660:2-9-2(c) of the Rules. Additionally, the notice may contain matters to supplement the ODS Notice attached hereto.

Witness my Hand and the Official Seal of the Oklahoma Department of Securities this 16<sup>th</sup> day of February, 2017.

(SEAL)

  
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IRVING L. FAUGHT, ADMINISTRATOR OF THE  
OKLAHOMA DEPARTMENT OF SECURITIES

CERTIFICATE OF MAILING

The undersigned hereby certifies that on the 16<sup>th</sup> day of February, 2017, a true and correct copy of the above and foregoing *Notice of Intent to Revoke Registration and Opportunity for Hearing* was mailed by certified mail, return receipt requested, delivery restricted, with postage prepaid thereon, addressed to:

MAX L. MASON  
7916 SOUTH NEW HAVEN AVE  
TULSA OK 74136

The undersigned also certifies that a copy of the subject ODS Notice was mailed on said date via USPS First Class mail with postage prepaid thereon, addressed to the individual's firms:

RAYMOND JAMES FINANCIAL SERVICES ADVISORS, INC.  
880 CARILLON PARKWAY  
SAINT PETERSBURG, FL 33716

RAYMOND JAMES FINANCIAL SERVICES, INC.  
880 CARILLON PARKWAY  
SAINT PETERSBURG, FL 33716



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Brenda London  
Paralegal