

3-15769

R. Douglas Mullins, JD, MBA, CPA

[REDACTED]
[REDACTED]
[REDACTED]
[REDACTED]

RECEIVED
FEB 26 2014
OFFICE OF THE SECRETARY

February 19, 2014

Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, NE
Mail Stop 1090
Washington, DC 20549

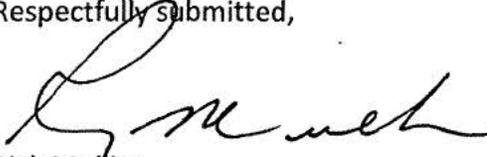
Re: Application to Appeal Bar from Association with a FINRA member (FINRA Rule 9552)
Ricky Mullins, CRD Number 4808792, (hereafter the "Applicant")
Matter Number 2013038647201

To whom it concerns:

Pursuant to applicable rules and regulations, Applicant is filing this application to appeal FINRA's bar from association under its Rule 9552. Applicant believes that FINRA erred in the bar from association due to the fact that Applicant requested a postponement regarding oral testimony on the record (i.e., the appearance before FINRA) until after the facts, circumstances, and law relating to the matter being investigated by FINRA were determined by either the staff of the Securities and Exchange Commission or by a court of competent jurisdiction.

Reference is made herein to **In Re: Guardian Oil & Gas, Inc., et. al., case FW-3768**. As all evidence, including transcripts of oral testimony, from this case has always been available to FINRA, and since the matter is being actively disputed, the Applicant's request for a postponement from FINRA oral testimony was reasonable. As such, Applicant respectfully requests that the Securities and Exchange Commission reverse, or in the alternative simply postpone, FINRA's action against Applicant, finding FINRA's refusal to postpone its demand for Applicant to appear and provide oral testimony as unreasonable. Applicant also respectfully requests that the Securities and Exchange Commission prevent FINRA from publicizing this action, in any form and including all types of media, until such final determination is made.

Respectfully submitted,


Rick Mullins

Copy to: Alan Lawhead, Esq.



RECEIVED
FEB 26 2014
OFFICE OF THE SECRETARY

[REDACTED]

January 24, 2014

Ricky Mullins
[REDACTED]

Ricky Mullins
[REDACTED]

Re: Bar from Association with any FINRA member (FINRA Rule 9552)
Ricky Mullins, CRD No. [REDACTED]
Matter No. 2013038647201

Dear Mr. Mullins:

Please be advised that, pursuant to FINRA Rule 9552(h) and, in accordance with FINRA's Notice of Suspension letter dated October 21, 2013 and the Suspension from Association letter dated November 14, 2013, you were barred from associating with any FINRA member in any capacity on January 24, 2014.

If you seek to appeal this regulatory action to the U.S. Securities and Exchange Commission (SEC), you must file an application with the SEC at the address listed below. To comply with the SEC's rule regarding timeliness, you must file the application for review within thirty days of your receipt of this letter. Also, a copy of the application, as well as copies of all documents you file with the SEC in connection with this matter, must be sent to FINRA. The SEC and FINRA addresses are as follows:

Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, NE
Mail Stop 1090
Washington, DC 20549

Alan Lawhead, Esq.
Office of General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006

Any documents provided to the SEC via facsimile or overnight mail should also be provided to FINRA by similar means.

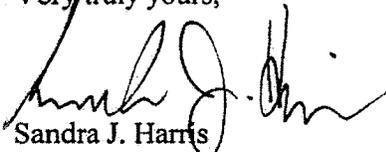
Ricky Mullins
January 24, 2014
Page 2

If you file an application for review with the SEC, the application must identify the FINRA case number and set forth in summary form a brief statement of alleged errors in the determination and the supporting reasons. You must also include an address where you may be served and phone number where you may be reached during business hours. If your address or phone number changes, you must advise the SEC and FINRA. Attorneys must file a notice of appearance.

Based upon the advice of the U.S. Postal Service and law enforcement authorities, FINRA and its family of companies will no longer open or accept any mail (envelopes or packages) that does not have complete return names and addresses. Please be sure when sending mail to FINRA that your information is fully and appropriately labeled.

Questions regarding the appeal process may be directed to the Office of the Secretary at the SEC. The phone number of that office is (202) 551-5400.

Very truly yours,



Sandra J. Harris
Senior Director, Policy & Expedited Proceedings

cc: Steve Graham, Senior Regional Counsel
Erin Vocke, Director (District 6 – Dallas)
Scott Maestri, Associate Director (District 6 – Dallas)