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**STATE OF WASHINGTON  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
SECURITIES DIVISION**

IN THE MATTER OF DETERMINING  
registration under the Securities Act of  
Washington of:

Order Number S-16-2049-16-CO01

CONSENT ORDER

UCI WEALTH ADVISORS, LLC (CRD  
154884) and TRAVIS HIGGINS (CRD  
4460566),

Respondents.

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THE STATE OF WASHINGTON TO:      UCI Wealth Advisors, LLC, CRD No. 154884  
Travis Higgins, CRD No. 4460566

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**INTRODUCTION**

Pursuant to the Securities Act of Washington, Chapter 21.20 RCW, the Securities Administrator of the Department of Financial Institutions Securities Division (“Securities Division”) and the Respondents, UCI Wealth Advisors, LLC and Travis Higgins, do hereby enter into this CONSENT ORDER in settlement of the matters alleged herein. The Securities Division issued Statement of Charges and Notice to Revoke Applications, Impose a Fine, and Charge Costs S-16-2049-16-SC01 on October 3, 2016 and believes that entry of an agreed Consent Order is in the public interest and is appropriate for the protection of investors. The Respondents and the Securities Division jointly set forth the following:

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2 **FINDINGS OF FACT**

3 *Respondents*

4 1. UCI Wealth Advisors, LLC (UCI), was located in Meridian, Idaho and has been registered  
5 as an investment adviser with the State of Idaho since September 2010 and with the Washington state  
6 Securities Division since January 2012. As of September 30, 2016, UCI terminated its Idaho investment  
7 adviser registration and agreed to not file a future application. UCI also terminated its registration in  
8 Arizona, California, and Texas. The firm Central Registration Depository (CRD) number is 154884.

9 2. Travis Higgins (Higgins) is located in Meridian, Idaho and is registered as an investment  
10 adviser representative of Legacy Wealth Management, LLC. He is also registered in Utah. He was the  
11 President, Chief Operations Officer, and Chief Compliance Officer of UCI and was registered as an  
12 investment adviser representative of UCI with the State of Idaho from October 2011 to September 2016.  
13 He was registered with the Washington state Securities Division from January 2012 until September 30,  
14 2016, when Mr. Higgins requested withdrawal of his Washington investment adviser representative  
15 registration. He was registered in Washington as a securities salesperson with Northwestern Mutual  
16 Investment Services LLC from April 2002 to July 2010. His individual CRD number is 4460566.

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18 *Nature of the Conduct*

19 3. On August 9, 2016, the Colorado Department of Regulatory Agencies, Division of  
20 Securities, entered a Consent Order and Stipulation, in case no. XY 20016-16 alleging that UCI and  
21 Higgins violated the Colorado Securities Act.





1 **AUTHORITY AND PROCEDURE**

2 This Order is entered pursuant to the provisions of chapter 21.20 RCW and is subject to the  
3 provisions of RCW 21.20.120 and Chapter 34.05 RCW. Respondents have been notified of their right to  
4 an administrative hearing and have waived the right to a hearing.

5 **WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE.**

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7 SIGNED this 22 day of February, 2017.

8 Signed by:

9 /s/  
10 Michael MacPhail, Colorado Bar #  
11 Attorney for Respondent, UCI Wealth Advisors, LLC, CRD #154884, and  
12 Travis Higgins, CRD #4460566

13 Signed by:

14 /s/  
15 Travis Higgins, CRD #4460566  
16 President  
17 UCI Wealth Advisors, LLC, CRD #154884

18 Signed by:

19 /s/  
20 Travis Higgins, CRD #4460566  
21 Individually

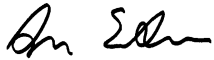
1 DATED and ENTERED this 3rd day of March, 2017.

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4 WILLIAM M. BEATTY  
5 Securities Administrator

6 Approved by:

Presented by:

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9 Suzanne Sarason  
Chief of Enforcement

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11 Kristen Standifer  
12 Financial Legal Examiner