

STATE OF NEW HAMPSHIRE  
BUREAU OF SECURITIES REGULATION  
DEPARTMENT OF STATE  
25 CAPITOL STREET  
CONCORD, NH 03301

**STAFF PETITION FOR RELIEF**  
**IN THE MATTER OF:**

Blackbook Capital, LLC CRD#123234

INV2016-00016

**STATEMENT OF ALLEGATIONS**

I. The staff of the Bureau of Securities Regulation, Department of State, State of New Hampshire (hereinafter referred to as the "Bureau") alleges the following issues of fact:

1. Blackbook Capital, LLC, (hereinafter referred to as "BC") is a broker-dealer firm with a mailing address on record with the Bureau of 17 Roosevelt Drive, Hillside, NJ 07205. BC is a broker-dealer expelled from the Financial National Regulatory Association ("FINRA") for failing to pay fines or costs. Many of its broker-dealer records are kept on the FINRA's Central Registry Depository system ("CRD"). BC's CRD number is 123234. BC was registered with the Bureau effective on 12/21/2012.
2. BC has failed to pay the Bureau a penalty of \$375.00 for late filing of its year 2015 audited financial report which was filed on 5/16/2016 and beyond the due date of 5/2/2016. Letters were sent on 5/17/2016 and 6/30/2016 to BC which requested payment, and no payment was received by the Bureau. A warning letter was sent certified mail on 8/19/2016 and received on 8/29/2016. No response was received.

II. The staff of the Bureau of Securities Regulation, Department of State, State of New Hampshire alleges the following issues of law:

1. RSA 421-B:4-411(b)(1), requires every broker-dealer within 60 days after the close of the fiscal year, to make and transmit to the secretary of state an audited financial statement certified by an independent certified public accountant.
2. RSA 421-B:4-411(b)(2) requires every broker-dealer to pay to the state \$25 for each day of delinquency. The secretary of state may suspend or revoke the license of any broker-dealer failing to file its annual statement when due. BC has violated this section.
3. RSA 421-B:4-411(l) requires any officer of a broker-dealer doing business in this state to reply in writing to any written inquiry from the Secretary of State requesting a reply. BC has violated this section by failing to respond and reply to correspondence from the Bureau.

4. RSA 421-B:4-412(b) and 421-B:4-412(d)(2) allows the secretary of state to revoke a broker-dealer license if he finds that it is in the public interest and that the broker-dealer or any officer of the broker-dealer has willfully failed to comply with any provision of the Act or rules thereunder. BC is subject to this section.
5. RSA 421-B:4-412(f) provides that the Secretary of State may summarily suspend the license of a broker-dealer before a final determination of an administrative proceeding. BC is subject to this section as they are essentially out of business and nonresponsive.
6. RSA 421-B:4-412(c) provides that the secretary of state, may upon hearing, assess an administrative fine of not more than \$2,500 per violation, in lieu of or in addition to, an order to revoke a license. BC is subject to a fine under this section.

### **RELIEF REQUESTED**

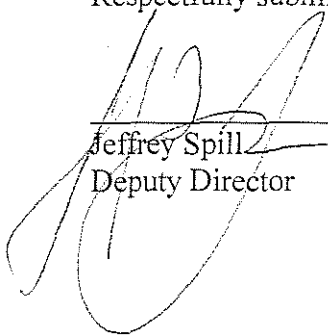
The staff of the Bureau of Securities Regulation requests the Director take the following action:

1. Find as fact the allegations contained in section I of the Statement of Allegations of this petition.
2. Make conclusions of law as stated in section II relative to the allegations contained in section I of this petition.
3. Summarily suspend the broker-dealer license of BC, in accordance with RSA 421-B:4-412(f).
4. Order Respondent BC to pay an administrative penalties of \$2,500 for violations of RSA 421-B:4-411(b)(2) and 421-B:4-411(l) (total \$5,000).
5. Take such other actions as necessary for the protection of New Hampshire investors and enforcement of the Act.

### **RIGHT TO AMEND**

The Bureau's Staff reserves the right to amend this Petition for Relief and to request that the Director of Securities take additional administrative action. Nothing herein shall preclude the Staff from bringing additional enforcement action under this NH RSA 421-B or the regulations thereunder.

Respectfully submitted by:



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Jeffrey Spill  
Deputy Director

9/22/16

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September 22, 2016

**STATE OF NEW HAMPSHIRE  
DEPARTMENT OF STATE  
BUREAU OF SECURITIES REGULATION**

IN THE MATTER OF:

Blackbook Capital, LLC  
CRD #123234

)  
) ORDER OF SUMMARY SUSPENSION  
)  
) INV2016-00016  
)

**NOTICE OF ORDER**

This Order commences an adjudicative proceeding under the provisions of RSA 421-B:26-a.

**LEGAL AUTHORITY AND JURISDICTION**

Pursuant to RSA 421-B:4-412(b) and RSA 421-B:4-412(d)(2), the Secretary of State has the authority to deny, suspend, or revoke any broker-dealer licensee or application if he finds that it is in the public interest and that the applicant or licensee has willfully failed to comply with the provisions of RSA 421-B, the Securities Act of 1933, the Securities Exchange Act of 1934, or any rule under any such statutes.

Pursuant to RSA 421-B:4-412(f), the Secretary of State may by order summarily suspend the license of a broker dealer before a final determination of an administrative proceeding.

Pursuant to RSA 421-B:26, III any person who, either knowingly or negligently, violates any provision of RSA 421-B may, upon hearing, and in addition to any other penalty provided

for by law, be subject to: suspension, revocation or denial of any registration or license, or an administrative fine not to exceed \$2,500, or both . Each act shall constitute a separate violation.

### **NOTICE OF RIGHT TO REQUEST A HEARING**

The above named respondent has the right to request a hearing on this Order, as well as the right to be represented by counsel. Any such request for a hearing shall be in writing, signed by the respondent or by the duly authorized agent of the above named respondent, and shall be delivered either by hand or certified mail, return receipt requested, to the Bureau of Securities Regulation, Department of State, 25 Capitol Street, Concord, New Hampshire 03301.

Under the provisions of RSA 421-B:4-412(f), if respondent fails to request a hearing on an Order of Summary Suspension within 30 calendar days of receipt of this order, respondent shall be deemed in default, and the penalties requested will be imposed by default.

Upon request for a hearing being received by the Bureau of Securities Regulation, in the manner and form indicated above, a hearing shall be held not later than fifteen ten days after such request is received by the Bureau.

### **STATEMENT OF ALLEGATIONS**

The allegations contained in the Staff Petition for Relief dated September 22, 2016 (a copy of which is attached hereto) are incorporated by reference hereto.

## ORDER

WHEREAS, finding it necessary and appropriate and in the public interest, and for the protection of investors and consistent with the intent and purposes of the New Hampshire securities laws, and

WHEREAS, finding that the public interest would be irreparably harmed by delay in issuing an order of suspension, and

WHEREAS, finding that the allegations contained in the Staff Petition, if proved true and correct, form the legal basis of the relief requested,


It is hereby ORDERED, that:

1. Respondent's N.H. broker-dealer license is hereby summarily suspended effective the date of this order.
2. Respondent is ordered to pay an administrative penalty of \$5,000 for violations of RSA 421-B:4-411(b)(2) and RSA 421-B:4-411(1).

Failure to request a hearing within 30 days of the date of receipt of this Order shall result in a default judgment being rendered and administrative penalties being imposed upon the defaulting Respondent.

SIGNED,  
WILLIAM M. GARDNER  
SECRETARY OF STATE  
BY HIS DESIGNEE:

Date: 9.26.16

  
BARRY J. GLENNON, Director  
N.H. Bureau of Securities Regulation