WHEREAS, the staff of the Bureau of Securities Regulation, Department of State, State of New Hampshire (hereinafter referred to as “the Bureau”) filed a Staff Petition for Relief in the above-referenced matter on January 17, 2018; and

WHEREAS, an Order to Cease and Desist with other sanctions was issued by the Director of the Bureau on January 23, 2018, said order containing a Notice of Order and a Notice of Right to Request a Hearing; and

WHEREAS, copies of the Staff Petition and Order were delivered to the Respondent; and

WHEREAS, the Respondent contacted the Bureau by letter advising the Bureau that it wanted to resolve the matter; and
WHEREAS, the Bureau set a deadline for resolution of the matter for May 4, 2018; and

WHEREAS, the Respondent at no time requested a hearing nor was the underlying issue resolved with the Bureau; and

WHEREAS, on May 9, 2018, the Bureau filed a Motion for Default, requesting that the presiding officer find the Respondent in default in the above-referenced matter; and

WHEREAS, the Respondent has not responded to or objected to the Bureau's motion;

ORDER

THEREFORE, it is hereby ORDERED that:

1) The Respondent is found in default and the Order to Cease and Desist in the above-referenced matter is hereby made permanent.

2) The sanctions ordered by the Director in his Order to Cease and Desist are hereby made permanent.

3) The Respondent's broker-dealer registration is hereby suspended in accordance with N.H. RSA 421-B:4-412(d).

4) The Respondent shall pay administrative penalties of $2,500.00 for violation of N.H. RSA 421-B:4-406 for failing to file an amended Form U-2.
5) The Respondent shall pay the Bureau's costs in the amount of $2,500.00.

SIGNED,

WILLIAM M. GARDNER
SECRETARY OF STATE
BY:

Dated: 5/18/2018

KEVIN B. MOQUIN
HEARINGS OFFICER