

ADMINISTRATIVE PROCEEDING

SECURITIES COMMISSIONER OF SOUTH CAROLINA

IN THE MATTER OF: )  
 )  
ALETHEIA SECURITIES, INC. )  
CRD # 44784, )  
 )  
RESPONDENT )  
\_\_\_\_\_ )

**RULE TO SHOW CAUSE**

**File Number 14075**

WHEREAS, Respondent Aletheia Securities, Inc., (“Respondent” or “Aletheia”) CRD #44784, at all times material herein, was and currently is registered with the State of South Carolina as a broker-dealer pursuant to S.C. Code Ann. § 35-1-406; and

WHEREAS, the Financial Industry Regulatory Authority (“FINRA”) is a self-regulatory organization, and, during the relevant time period, Respondent was a member of FINRA; and

Commissioner finds that the order is in the public interest and subsection (d) of § 35-1-412 authorizes the action; and

**WHEREAS**, § 35-1-412(c) authorizes the Securities Commissioner to issue an order censuring, barring, or imposing a civil penalty in an amount not to exceed \$10,000 for each violation, on a registrant, if the Commissioner finds that the order is in the public interest and subsection (d) of § 35-1-412 authorizes the action; and

**WHEREAS**, § 35-1-412(d)(5)(C) of the Securities Act states that a person who:

is the subject of an order, issued after notice and opportunity for hearing

organization suspending or expelling the registrant from membership in the self-regulatory organization

is subject to discipline pursuant to S.C. Code Ann. §§ 35-1-412(a), (b), and (c); and

**WHEREAS**, FINRA, a self-regulatory organization, expelled the Respondent from

and barring Respondent from the securities and investment advisory business in the State of South Carolina; and

**IT IS FURTHER ORDERED** that Respondent's failure to file a written answer, including any request for a hearing, within thirty (30) days from the date of service of this Rule

the entry of a Final Order revoking Respondent's broker-dealer registration in the State of South Carolina and barring Respondent from the securities and investment advisory business in the State of South Carolina.

