

**ADMINISTRATIVE PROCEEDING
BEFORE THE
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

IN THE MATTER OF:

Robert W. Denton,

CDD # 1241602

)
)
)
)

SUMMARY SUSPENSION

FILE NO. 14028

Respondent.

WHEREAS, the Securities Division of the Office of the Attorney General of the State of South Carolina has been authorized and directed by the Securities Commissioner of South Carolina (the "Securities Commissioner") to administer the provisions of S.C. Code Ann. § 35-1-101, *et seq.*, the South Carolina Uniform Securities Act of 2005 (the "Act"); and

WHEREAS, pursuant to S.C. Code Ann. § 35-1-412(f), the Securities Commissioner may summarily suspend a respondent's registration before the final determination of an administrative proceeding;

NOW THEREFORE, upon due consideration of the subject matter contained in a related administrative proceeding under the Act having the same file number, 14028, and having reason to believe that Respondent violated certain provisions of the Act and the Rules promulgated thereunder;

IT IS HEREBY ORDERED that, pursuant to S.C. Code Ann. § 35-1-412(f), the broker-dealer

within 30 days of the date of the report.

The report shall be prepared in accordance with the following requirements:

(a) The report shall be prepared in accordance with the following requirements:

(b) The report shall be prepared in accordance with the following requirements:

(c) The report shall be prepared in accordance with the following requirements:

(d) The report shall be prepared in accordance with the following requirements:

(e) The report shall be prepared in accordance with the following requirements:

(f) The report shall be prepared in accordance with the following requirements:

ADMINISTRATIVE PROCEEDING

BEFORE THE

SECURITIES COMMISSIONER OF SOUTH CAROLINA

IN THE MATTER OF:)
)
Robert W. Denton,)
CRD # 1241683)
)
Respondent.)

RULE TO SHOW CAUSE

File No. 14028

WHEREAS the Securities Division of the Office of the Attorney General of the State of South

Carolina (the "Division"), has been authorized and directed by the Securities Commissioner of South Carolina (the "Securities Commissioner") to administer the provisions of S.C. Code Ann. § 35-1-101, *et seq.*, the South Carolina Uniform Securities Act of 2005 (the "Act"); and

WHEREAS the Division alleges the following:

I. JURISDICTION

6. The Investor named his wife as beneficiary of his life insurance policy, which had a death benefit of two hundred and fifty thousand dollars (\$250,000).
7. The Investor's wife passed away on March 7, 2012.
8. The Investor then called Denton to change the beneficiary on his life insurance policy.

9. As a result of this request, Denton brought forms for Investor to sign, which the Investor did in

fact sign, on or around April 30, 2012.

10. Due to their many years of friendship and their ongoing professional relationship, Investor had placed his upmost trust and confidence in Denton.

11. The Investor, due to his deteriorating health, was in a lot of pain which required him to take

several controlled substances. Unbeknownst to Investor, and against his intention and wishes, the

2001

SEC COMMISSIONER

BY: *Shouq A. ...*

Deputy Security Administration Commissioner

SECRET
UNCLASSIFIED
CONFIDENTIAL
TOP SECRET

UNCLASSIFIED
CONFIDENTIAL
TOP SECRET

SECRET