ADMINISTRATIVE PROCEEDING BEFORE THE
SECURITIES COMMISSIONER OF SOUTH CAROLINA

IN THE MATTER OF: ) )
)
)

1792 SECURITIES, LLC
CRD#146048
)

RULE TO SHOW CAUSE

File Number 13056

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WHEREAS, Respondent 1792 Securities, LLC ("Respondent"), CRD #146048, 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 WHEREAS, on or about March 6, 2013, FINRA suspended Respondent's membership
for failure to make necessary filings with FINRA; and
WHEREAS, on or about June 19, 2013, pursuant to FINRA Rule 9552, FINRA expelled Respondeut from membership for Respondent's failure to request termination of its suspeusion within the required time period; and
WHEREAS, the Securities Commissiouer of the State of South Carolina ("Commissioner") has jurisdiction over this matter pursuant to S.C. Code Ann. § 35-l-60l(a); and
WHEREAS, § 35-1-412(b) authorizes the Securities Commissioner to issue an order revoking, suspending, conditioning, or limitiug the registratiou of 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, § 35-152rizes

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