



WHEREAS, the Respondent indicated its desire to resolve this matter by Consent Order

[REDACTED]

including but not limited to commissions, account closing fees, and any of the

unreasonable fees identified in the Administrative Order;

G. The Respondent will notify the Division immediately upon the close or transfer of the last

South Carolina resident account;

H. Thirty (30) days from the date of this Order, the Respondent will provide the Division a report providing the name and contact information of any remaining South Carolina resident accounts held at the Respondent as of that date;

I. The Respondent's registration in South Carolina as a broker-dealer will terminate after the close or transfer of the last South Carolina resident account or sixty (60) days after the

I. The Respondent, and any commonly controlled entity, agrees not to apply for



**S.C. ATTORNEY  
GENERAL'S OFFICE**

**JUN 30 2016**

**SECURITIES DIVISION**