



**II. RESPONDENTS**

2. Respondent Drummond & Associates is a South Carolina corporation with a last known address of 126 Alpha Drive, Greenville, South Carolina 29605.

3. Respondent Drummond incorporated Respondent Drummond & Associates on or about September 15, 2009.

4. Respondent Drummond is a South Carolina corporation with a last known address of 126

126 Alpha Drive, Greenville, South Carolina 29605

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and expertise in the financial sector.

11. Based on the Respondents' representations, on or about August 20, 2014, the Investor

11-11-14 11:11 AM (0050 000) 11-11-14



business of effecting transactions in securities for the account of others or for the account

25. Pursuant to S.C. Code Ann. § 35-1-102(2), an “agent” is an individual, other than a broker-dealer, who represents a broker-dealer in effecting or attempting to effect

30. The security offered and sold by the Respondents was not a federal covered security, exempt from registration, nor registered with the United States Securities and Exchange Commission or the Division and was therefore offered and sold in violation of S.C. Code Ann. § 35-1-301.
31. Respondent Drummond & Associates, on at least one occasion, transacted business in this State as an unregistered broker-dealer.
32. Respondent Drummond, on at least one occasion, transacted business in this State as an unregistered agent.
33. Respondent Drummond & Associates, on at least one occasion, employed or associated with an unregistered agent who transacted business on behalf of Drummond & Associates while that agent was not registered.
34. The Respondents, on at least one occasion and in connection with the offer, sale, or purchase of a security, directly or indirectly (1) employed a device, scheme, or artifice to defraud; (2) made an untrue statement of a material fact or omitted to state a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading; or (3) engaged in an act, practice, or course of business that operated or would operate as a fraud or deceit upon another person, in violation of S.C. Code Ann. § 35-1-501.
35. It is in the public interest, for the protection of investors, and consistent with the purposes

~~Subsequent to the filing of this complaint, the Respondents have voluntarily agreed to~~

V. CEASE AND DESIST ORDER

NOW THEREFORE, pursuant to S.C. Code Ann. § 35-1-604(a)(1), it is hereby ORDERED that:

- a. Respondent Drummond & Associates Financial Services, LLC and every successor, affiliate, control person, agent, servant, and employee of Drummond & Associates

controlled by or on behalf of Drummond & Associates Financial Services, LLC CEASE AND DESIST from transacting business in this State in violation of the Act, and, in particular, §§ 35-1-301, 35-1-401, 35-1-402, and 35-1-501 thereof;

- b. Respondent Calvert Drummond CEASE AND DESIST from transacting business in this

**IT IS FURTHER ORDERED** that, pursuant to S.C. Code Ann. §§ 35-1-604(a)(2) and (3), any exemption from registration with the Division upon which the Respondents may claim to rely under S.C. Code Ann. §§ 35-1-201(3)(C), (7), or (8); 35-1-202; 35-1-401(b)(1)(D) or (F); or 35-1-403(b)(1)(C), has been and is **PERMANENTLY REVOKED**.

~~REDACTED NOTICE OF OPPORTUNITY FOR HEARING~~

Each Respondent is hereby notified that he has the right to a hearing on the matters contained herein. To schedule such a hearing, the Respondent must file with the Securities Division, Post Office Box 11549, Rembert C. Dennis Building, Columbia, South Carolina, 29211-1549, attention: Thresechia Navarro, within thirty (30) days after the date of issuance of this Order to Cease and Desist a written Answer specifically requesting a hearing. If a



seeking additional civil or criminal remedies as are available under the Act, including remedies

and the provisions set forth above.

ENTERED this the 23<sup>rd</sup> day of

Special Agent in Charge  
U.S. Commissioner

ISSUANCE REC

Secret

DIVISION  
Rembert [redacted] Dennis P. Sullivan

U.S. DEPARTMENT OF JUSTICE

U.S. DEPARTMENT OF JUSTICE



THE UNIVERSITY OF CHICAGO  
DEPARTMENT OF CHEMISTRY  
LABORATORY OF ORGANIC CHEMISTRY

1954-1955  
RESEARCH REPORT  
No. 10

The following is a list of the research projects carried out in the Laboratory of Organic Chemistry during the year 1954-1955. The projects are listed in order of their completion.

1. Synthesis of new compounds  
2. Study of reaction mechanisms  
3. Investigation of physical properties  
4. Study of biological activity

5. Study of the effect of substituents on reaction rates

6. Study of the effect of substituents on the stability of free radicals

7. Study of the effect of substituents on the rate of polymerization