

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

IN THE MATTER OF:)
)
James Hal Heafner,)
CRD No. 4837072,)
)
Respondent.)
_____)

**ADMINISTRATIVE ORDER:
REVOCATION OF BROKER-DEALER
AGENT/INVESTMENT ADVISER
REPRESENTATIVE REGISTRATION**

Matter No. 20186002

I. PRELIMINARY STATEMENT

Pursuant to the authority granted to the Securities Commissioner of South Carolina (the “Securities Commissioner”) under the South Carolina Uniform Securities Act of 2005, S.C. Code Ann. § 35-1-101, *et seq.* (the “Act”), and delegated to the Securities Division of the Office of the Attorney General of the State of South Carolina (the “Division”) by the Securities Commissioner, the Division conducted an investigation into the securities-related activities of James Hal Heafner (CRD No. 4837072) (the “Respondent”), and in connection with its investigation, the Division has determined that Respondent violated the Act.

II. JURISDICTION

1. The Securities Commissioner has jurisdiction over this matter pursuant to S.C. Code Ann. § 35-1-601(a).

III. RESPONDENT

2. The Respondent is a broker-dealer agent and investment adviser representative registered with the Division with a business address of 10700 Sikes Place, #150, Charlotte, North Carolina 28277.

3. The Respondent has been registered with the Division as a broker-dealer agent since November 21, 2006, and as an investment adviser representative since March 9, 2009.

IV. FINDINGS OF FACT

4. On April 10 2019, the Financial Industry Regulatory Authority (“FINRA”) requested that the Respondent appear for on-the-

11. FINRA, a self-regulatory organization, issued an order after notice and opportunity for hearing that barred the Respondent from associating with any FINRA member in any capacity.

12. It is necessary and appropriate, in the public interest, for the protection of investors, and consistent with the purposes fairly intended by the policy and provisions of the Act to revoke the Respondent's registration as a broker-dealer agent and as an investment adviser representative.

VI. ORDER

NOW THEREFORE, pursuant to S.C. Code Ann. § 35-1-412(b), it is hereby **ORDERED** that the Respondent's registration with the Division as a broker-dealer agent and as an investment adviser representative is **REVOKED**.

VII. NOTICE OF OPPORTUNITY FOR HEARING

The Respondent is hereby notified that he has the right to a formal hearing on the matters contained herein. To schedule a hearing, the Respondent must file with the Division within thirty (30) days after the date of service of this Order, a written Answer specifically requesting a hearing. If the Respondent requests a hearing, the Division, within fifteen (15) days after receipt of a written request, will schedule the hearing for the Respondent. The written request shall be delivered to

