

**BEFORE THE
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

IN THE MATTER OF:

Oren Eugene Sullivan,

Respondent.

**ORDER IMPOSING A REVOCATION
OF REGISTRATION AND
PERMANENT BAR FROM
REGISTRATION**

File Number 10002

WHEREAS, the Securities Division of the Office of the Attorney General of the State of South Carolina (the "Division"), pursuant to authority granted in the South Carolina Uniform Securities Act of 2005 (the "Act"), S.C. Code Ann. § 35-1-101 to 35-1-703 (Supp. 2009), issued

~~Notice of Intent to Suspend Revocation of Registration and Permanent Bar ("Notice of Intent")~~

WHEREAS, more than thirty (30) days have passed since Respondent's receipt of the Notice of Intent and Respondent has not filed a written notice requesting a hearing in this matter and the time to do so has expired; and

WHEREAS, action against Respondent 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;

NOW THEREFORE, based on the findings of fact and conclusions of law set forth in this Order, Respondent's registration is hereby revoked, and the Respondent is permanently barred

from registration as a broker-dealer agent or investment adviser representative in South Carolina.

and Consent ("AWC") for the purpose of proposing a settlement of alleged rule violations of Section 10(b) of the Securities Exchange Act of 1934, SEC Rule 10b-5, and NASD Rules 2120, 2330(a) and 2110.

6. In the AWC referred to in item 5 above, the Respondent specifically acknowledged and waived notice and opportunity for a hearing, and agreed to a bar from association with any member of FINRA in any capacity.
7. Respondent's AWC was accepted by FINRA on or about August 21, 2009.

12 During the period in which he was registered as detailed above Respondent on one or more

occasions, willfully violated or willfully failed to comply with the Act or a rule adopted or order issued under the Act.

13. An order revoking Respondent's registration and barring him from registration in this State in the future is in the public interest and authorized by S.C. Code Ann. § 35-1-412.

APPLICABLE LAW

14 Pursuant to S.C. Code Ann. § 35-1-412(h) the Securities Commissioner may revoke the

registration of a registrant if the Securities Commissioner finds the order to be in the public interest and S.C. Code Ann. § 35-1-412(d) authorizes the action.

d. **Not engaged in dishonest or unethical practices in the securities, commodities, investment, pension, banking, finance or insurance business within the**
