

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

IN THE MATTER OF:

**Mark Christopher Hotton,
CRD #2346843,**

Respondent.

RULE TO SHOW CAUSE

Matter No. 14115

WHEREAS, Respondent Mark Christopher Hotton, CRD No. 2346843, was a broker-

February of 1994 and May of 2012; and

WHEREAS, the Financial Industry Regulatory Authority (“FINRA”) is a self-regulatory organization, and, between 2005 and 2009, Respondent was associated with Oppenheimer and

WHEREAS, § 35-1-412(b) authorizes the Securities Commissioner to issue an order revoking, suspending, conditioning, or limiting the registration 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, § 35-1-412(c) authorizes the Securities Commissioner to issue an order censuring, barring, or imposing a civil penalty in an amount not to exceed \$10,000 for each violation, on 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, § 35-1-412(d)(5)(C) of the Securities Act states that a person who:

is the subject of an order, issued after notice and opportunity for hearing [by] the Securities and Exchange Commission or a self-regulatory organization suspending or expelling the registrant from membership in the self-regulatory organization

is subject to discipline pursuant to S.C. Code Ann. §§ 35-1-412(a), (b), and (c); and

WHEREAS, FINRA, a self-regulatory organization, barred the Respondent from

IT IS FURTHER ORDERED that the respondent shall be held in contempt, unless, including any request for a hearing, within thirty (30) days of the date of this order, the respondent files a motion to set aside the order.

In the event of a school, county, community, business, or other group or organization that is the respondent to this order, the respondent shall file a motion to set aside the order.

WITNESSED my hand and the seal of the Court at Chicago, Illinois, this 15th day of June, 2003.

JOHN J. COUGHLIN
JUDGE OF THE CIRCUIT COURT OF THE STATE OF ILLINOIS

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