

ADMINISTRATIVE PROCEEDING
BEFORE THE

IN THE MATTER OF:)

Financial West Group, Inc.,)
CRD No. 16668,)

Respondent.)
_____)

SUSPENSION OF BROKER-DEALER
REGISTRATION

Matter No. 20185259

WHEREAS, the Securities Commissioner of South Carolina (the "Securities
Commissioner") has authorized and directed the Securities Division of the Office of the Attorney

4. The Financial Industry Regulatory Authority ("FINRA") is a self-regulatory

~~Respondent was a member of FINRA. On or about August 17, 2019, FINRA suspended~~

and opportunity for hearing by a self-regulatory organization, suspending the registrant from

membership in the self-regulatory organization.

12. On the facts above, 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 South Carolina Uniform Securities Act, S.C. Code Ann. § 35-1-101, *et seq.*, to suspend the Respondent's registration in this State as a broker-dealer.

V. 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 is **SUSPENDED**.

IT IS FURTHER ORDERED that the Respondent's failure to file a written answer, including any request for a hearing, within thirty (30) days from the date of this Order, shall be deemed a waiver by the Respondent of the right to a hearing and shall result in this Order being final as to the Respondent by operation of law.

Failure by the Respondent to file a written request for a hearing in this matter within the
thirty day (30) period stated above shall be deemed a waiver by the Respondent of the right to

such a hearing. Failure of the Respondent to file an Answer, including a request for a hearing, shall result in this Order becoming final as to the Respondent by operation of law.

This Order does not prevent the Division, or any other agency, including, without limitation, civil and criminal law enforcement agencies, from seeking additional civil or criminal remedies that are available under the Act, including remedies related to the conduct set forth above.

ENTERED, this the 19th day of September, 2018.

ALAN WILSON
SECURITIES COMPLAINTS

STATE OF SOUTH CAROLINA
OFFICE OF THE ATTORNEY GENERAL
SECURITIES DIVISION

CERTIFICATE OF SERVICE AND

FILE NUMBER 20185259

I hereby certify that I served upon Investment Services, LLC

Investment Services, LLC
10000
10000

0

Investment Services, LLC 10000 10000

Investment Services, LLC 10000 10000

I, Investment Services, LLC

do hereby certify, swear and

affirm that the foregoing is true and

correct to the best of my knowledge

and belief.

Executed on 10/10/2018 at 10000

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BY J. H. GOLDSTEIN AND R. L. SEXTON

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