

**STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT**

\_\_\_\_\_  
IN THE MATTER OF: Dennis Michael Zator  
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)  
) FILE NO. 1200320  
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**CONSENT ORDER OF DISMISSAL**

TO THE RESPONDENT: Dennis Michael Zator  
10545 South Lorel Avenue  
Oak Lawn, Illinois 60453

James Todd Newton, President  
Newbridge Financial Services Group, Inc.  
1451 W. Cypress Creek Road Suite 204  
Fort Lauderdale, FL 33309

Gregg Breitbart, Esq.  
2101 NW Corporate Boulevard, Suite 218  
Boca Raton, FL 33431

WHEREAS, Respondent on the 17<sup>th</sup> day of October executed a certain Stipulation to Enter Consent Order of Dismissal (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, Respondent has admitted to the jurisdiction of the Secretary of State and service of the Notice of Hearing of the Secretary of State, Securities Department, dated October 2, 2012, in this proceeding (the "Notice") and Respondent has consented to the entry of this Consent Order of Dismissal ("Consent Order").

WHEREAS, by means of the Stipulation, the Respondent acknowledged, without admitting or denying the truth thereof, that the following allegations contained in the Notice of Hearing shall be adopted as the Secretary of State's Findings of Fact:

1. That at all relevant times the Respondent was registered with the Secretary of State as an Investment Advisor Representative in the State of Illinois pursuant to Section 8 of the Act.

Consent Order of Dismissal

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2. That on May 31, 2012 FINRA entered Decision & Order of Offer of Settlement ("AWC" or "Order") submitted by the Respondent regarding Disciplinary Proceeding No. 2009020519501 which sanctioned the Respondent as follows:
  - a) suspended from association with any FINRA member in any capacity for thirty days (30);
  - b) fined \$2,500;
3. That the Order found: FINRA RULE 2010, NASD Rule 2110, 2370-Dennis Zator borrowed \$40,000 from a relative and \$90,000 from a friend, both member firm customers whose accounts he serviced without his firms' approval prior to the loans. At the time of the loans, Zator's firm did not have written supervisory procedures that allowed registered representatives to borrow from customers. Zator completed branch office questionnaires in which he falsely responded that he had not made loans to, or borrowed money from, any customer.
4. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of an Investment Advisor Representative may be revoked if the Secretary of State finds that such Investment Advisor Representative has been suspended by any self-regulatory organization Registered under the Federal 1934 Act or the Federal 1974 Act arising from any fraudulent or deceptive act or a practice in violation of any rule, regulation or standard duly promulgated by the self-regulatory Organization.
5. That FINRA is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.

WHEREAS, by means of the Stipulation Respondent has acknowledged, without admitting or denying the averments, that the following shall be adopted as the Secretary of State's Conclusion of Law:

Respondent's registration as a Salesperson in the State of Illinois is subject to Revocation pursuant to Section 8.E(1)(j) of the Act.

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that he has executed a certain Affidavit, which contains undertakings that he will adhere to upon entry of this Consent Order. Said Affidavit is incorporated herein and made a part hereof.

Consent Order of Dismissal

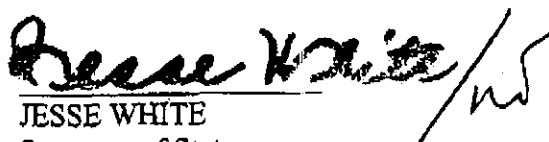
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WHEREAS, the Secretary of State, by and through his duly authorized representative, has determined that the matter related to the aforesaid formal hearing may be dismissed without further proceedings.

NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED THAT:

1. The Notice of Hearing dated October 2, 2012 is dismissed.
2. The Respondent shall comply with all of the terms and conditions contained in his accompanying Affidavit, which has been made a part of this Order.
3. The formal hearing scheduled on this matter is hereby dismissed without further proceedings.

ENTERED: This 24<sup>th</sup> day of October 2012.

  
JESSE WHITE  
Secretary of State  
State of Illinois