

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

IN THE MATTER OF: Dennis Michael Zator

FILE NO. 1200320

NOTICE OF HEARING

TO THE RESPONDENT:

Dennis Michael Zator
10545 South Lorel Avenue
Oak Lawn, Illinois 60453

James Todd Newton, President
Newbridge Securities Corporation
1451 W. Cypress Creek Road Suite 204
Fort Lauderdale, FL 33309

You are hereby notified that pursuant to Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act") and 14 Ill. Adm. Code 130, Subpart K, a public hearing will be held at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602, on the 20th day of November, 2012 at the hour of 10:00 a.m. or as soon as possible thereafter, before Soula Spyropoulos Esq., or such other duly designated Hearing Officer of the Secretary of State.

Said hearing will be held to determine whether an order shall be entered revoking Dennis Michael Zator (the "Respondent") registration as an Investment Advisor Representative in the State of Illinois and/or granting such other relief as may be authorized under the Act including but not limited to the imposition of a monetary fine in the maximum amount pursuant to Section 11.E(4) of the Act, payable within ten (10) business days of the entry of the Order.

The grounds for such proposed action are as follows:

1. That at all relevant times, the Respondent was registered with the Secretary of State as investment advisor representative in the State of Illinois pursuant to Section 8 of the Act.

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2. That on December 9, 2011 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 (30) business days; and
 - 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 a 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.
6. That by virtue of the foregoing, the Respondent's registration an Investment Advisor Representative in the State of Illinois is subject to revocation pursuant to Section 8.E(1)(j) of the Act.

You are further notified that you are required pursuant to Section 130.1104 of the Rules and Regulations (14 ILL. Adm. Code 130) (the “Rules”), to file an answer to the allegations outlined above within thirty (30) days of the receipt of this Notice. A failure to file an answer within the prescribed time shall be construed as an admission of the allegations contained in the Notice of Hearing.

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Furthermore, you may be represented by legal counsel; may present evidence; may cross-examine witnesses and otherwise participate. A failure to so appear shall constitute default, unless any Respondent has upon due notice moved for and obtained a continuance.

A copy of the Rules, promulgated under the Act and pertaining to hearings held by the Office of the Secretary of State, Securities Department, is included with this Notice.

Delivery of Notice to the designated representative of any Respondent constitutes service upon such Respondent.

Dated: This 1st day of October 2012.

A handwritten signature in black ink that reads "Jesse White" with a stylized flourish at the end.

JESSE WHITE
Secretary of State
State of Illinois

Attorney for the Secretary of State:
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Illinois Securities Department
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Hearing Officer:
Soula Spyropoulos
4125 W. Lunt
Lincolnwood, Illinois 60712