

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

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IN THE MATTER OF: FP Financial Services, INC. )  
dba Guidant Wealth Advisors )  
\_\_\_\_\_ )

FILE NO. 1000460

**CONSENT ORDER OF FINE**

TO THE RESPONDENT: FP Financial Services, Inc.  
dba Guidant Wealth Advisors  
(CRD#: 123383)  
35 West Slade Street  
Palatine, Illinois 60067

WHEREAS, Respondent on the 1<sup>st</sup> day of April, 2011 executed a certain Stipulation to Enter Consent Order of Fine (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 February 10, 2011 in this proceeding (the "Notice") and Respondent has consented to the entry of this Consent Order of Fine ("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 adviser in the State of Illinois pursuant to Section 8 of the Act.
2. That the Respondent during the period of January 1, 2010 through November 24, 2010 employed an individual to act as one of its investment adviser representatives. That on or about July 15, 2010 this individual provided investment advisory services to one resident of the State of Illinois.

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3. That Section 8.A of the Act provides, in pertinent part, except as otherwise provided, every investment adviser representative shall be registered as such with the Secretary of State.
4. That the activity described in paragraph two (2) above constitutes the activity of an investment adviser representative as defined in Section 2.12b of the Act.
5. That during all times relevant, the individual described in paragraph two (2) above, was not registered with the Secretary of State as an investment adviser representative pursuant to Section 8 of the Act.
6. That Section 12.D of the Act provides, inter alia, that it shall be a violation of the provisions of the Act for any person to fail to file with the Secretary of State any application, report or document required to be filed under the provisions of the Act or any rule or regulation made by the Secretary of State pursuant to the Act.
7. That by virtue of the foregoing, the Respondent has committed a violation of Section 12.D of the Act.
8. That Section 8.E(1)(g) of the Act provides that the registration of a investment adviser may be revoked if it has violated any of the provisions of this Act.

WHEREAS, by means of the Stipulation, the Respondent acknowledged, without admitting or denying the truth thereof, that the Secretary of State has adopted the following additional Finding of Fact:

That Section 11.E(4) of the Act provides that in addition to any other sanction or remedy contained in this subsection E, the Secretary of State, after finding that any provision of this Act has been violated, may impose a fine as provided by rule, regulation or order not to exceed \$10,000, for each violation of this Act, may issue an order of public censure against the violator, and may charge as costs of investigation all reasonable expenses, including attorney's fees and witness fees.

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 Conclusions of Law:

- 1) The Respondent has committed a violation of Section 12.D of the Act;

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- 2) The Respondent's registration as an investment adviser in the State of Illinois is subject to revocation pursuant to Section 8.E (1)(g) of the Act; and
- 3) That by virtue of the foregoing, the Respondent is subject to a fine pursuant to Sections 12.D and 11.E(4) of the Act.

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that they shall be FINED Two Hundred Fifty dollars (\$250.00), to be paid by certified or cashier's check, made payable to the Secretary of State, Securities Audit and Enforcement Fund.

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that they shall be levied the costs incurred during the investigation of this matter in the amount of One Thousand Five Hundred Dollars (\$1,500.00), to be paid by certified or cashier's check made payable to the Office of the Secretary of State, Securities Audit and Enforcement Fund.

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that they have submitted with the Stipulation a certified or cashier's check in the amount of One Thousand Seven Hundred Fifty dollars (\$1,750.00). Said sum is allocated as follows: Two Hundred Fifty dollars (\$250.00) as FINE for violation of the Act; and One Thousand Five Hundred dollars (\$1,500.00) to cover the costs incurred during the investigation of this matter. Said check has been made payable to the Office of the Secretary of State, Securities Audit and Enforcement Fund.

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 ORDER THAT:

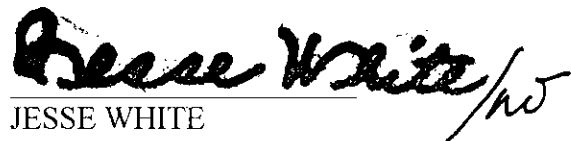
1. Respondent is FINED in the amount of Two Hundred Fifty dollars (\$250.00), payable to the Office of the Secretary of State, Securities Audit and Enforcement Fund, and on, 2011 has submitted Two Hundred Fifty dollars (\$250.00) in payment thereof.

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2. Respondent is levied costs of investigation in this matter in the amount of One Thousand Five Hundred dollars (\$1,500.00), payable to the Office of the Secretary of State, Securities Audit and Enforcement Fund, and on April 1, 2011 has submitted One Thousand Five Hundred dollars (\$1,500.00) in payment thereof.
3. The formal hearing scheduled on this matter is hereby dismissed without further proceedings.

ENTERED: This 14<sup>th</sup> day of April 2011.

  
JESSE WHITE  
Secretary of State  
State of Illinois

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