

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

IN THE MATTER OF: Darin Christopher Haines

FILE NO. 1300149

AMENDED NOTICE OF HEARING

TO THE RESPONDENT: Darin Christopher Haines
 9 Darcy Ave
 Manorville, NY 11947

 Cape Securities, Inc
 2500 Pennsylvania Ave
 Mc Donough, GA 30253

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 15th day of May, 2013 at the hour of 10:00 a.m. or as soon as possible thereafter, before James Kopecky, or such other duly designated Hearing Office of the Secretary of State

Said hearing will be held to determine whether an order shall be entered revoking Darin Christopher Haines (the "Respondent") registration as a Salesperson 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 on February 5, 2013, Cape Securities, Inc., a registered dealer, filed a Form U-4 application for registration of the Respondent as a salesperson in the State of Illinois pursuant to Section 8 of the Act.
2. That on February 1, 2013 FINRA entered LETTER OF ACCEPTANCE, WAIVER AND CONSENT ("AWC or "ORDER") submitted by the Respondent regarding Disciplinary Proceeding No. 201002555301 which sanctioned the Respondent at follows:

Amended Notice of Hearing

2

- a. suspended from association with any FINRA member in any capacity for Five (5) business days from March 4, 2013 to March 8, 2013, and in any principal capacity for Five (5) business days from March 11, 2013 to March 15, 2013; and
 - b. fined \$7,500.
3. That the Order found: FINRA RULE 2010, NASD RULES 2510(D)(1), 3010: Haines exercised time-and-price discretion in connection with block trades outside the permissible exception of NASD Rule 2510(D)(1). Haines was a manager of two member firm branch offices, where some accounts were shared by multiple brokers, including Haines. Haines participated in effecting block trades of Securities involving non-discretionary customers. There was significant overlap among the participants so that the 88 total trades involved only 44 different customers. The customers involved authorized the transitions, but they did so by telephone and for the most part on days prior to execution of the block trades. Haines failed to supervise those block trades to ensure compliance with NASD Rule 2510.
4. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson may be denied if the Secretary of State finds that such Salesperson 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 Darin Christopher Haines registration as an Salesperson in the State of Illinois is subject to denial 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.

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 hearing held by the Office of the Secretary of State, Securities Department, can be found at www.cyberdriveillinois.com.

Amended Notice of Hearing

3

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

Dated: This 20th day of MARCH 2013



JESSE WHITE
Secretary of State
State of Illinois

Attorney for the Secretary of State:

Cheryl Goss Weiss
Office of the Secretary of State
Illinois Securities Department
69 West Washington Street, Suite 1220
Chicago, Illinois 60602
Telephone: (312) 793-3384

Hearing Officer:
James L. Kopecky
203 N. LaSalle Street
Suite 1620
Chicago, Illinois 60601