

STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT

IN THE MATTER OF. JUNHAU (MICHAEL) LIAO) File No 1300227

NOTICE OF HEARING

TO THE RESPONDENT: Junhau (Michael) Liao (CRD# 4278425)
GlobeLink Securities, Inc
3452 East Foothill Boulevard
Suite 1040
Pasadena, CA 91107

You are hereby notified that pursuant to Section 11.F of the Illinois Securities Law of 1953, [815 ILCS 5/1 et seq.,] (the "Act") and 14 Ill. Adm. Code 130, Subpart K, a public hearing will be held at 300 W. Jefferson Avenue, Suite 300A, Springfield, Illinois, 62702, on the 18th day of September, 2013 at the hour of 10:00 a.m or as soon thereafter as counsel may be heard, before Jon K. Ellis or such other duly designated Hearing Officer of the Secretary of State

Said hearing will be held to determine whether an Order should be entered denying Junhau (Michael) Liao (the "Respondent") registration as a salesperson in the State of Illinois and/or whether to grant such other relief as may be authorized under the Act, including, but not limited to, 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. At all times relevant hereto, Respondent was registered as a salesperson in the State of Illinois pursuant to Section 8 of the Illinois Securities Law [815 ILCS 5/1 et seq] (the "Act")
2. FINRA is a private, non-governmental organization that is registered with the United States Securities and Exchange Commission as a self-regulatory organization pursuant to the Securities Exchange Act of 1934.
3. At all times relevant hereto, Respondent was FINRA-registered and the Chief Compliance Officer and President of GlobeLink Securities, Inc , a FINRA-registered firm.

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4. On May 14, 2013, FINRA entered a Letter of Acceptance, Waiver and Consent (AWC) submitted by the Respondent and GlobalLink Securities, Inc regarding File No. 2009018818901, which sanctioned the Respondent as follows.
 - a. Respondent and GlobalLink Securities were jointly and severally fined \$20,000.
 - b. Respondent was suspended from association with any FINRA member in a principal capacity for one month
5. The Letter, signed by Respondent on or about May 1, 2013, acknowledged the following.
 - a. From August 2008 through may 2009, GlobalLink, acting through Liao, failed to establish, maintain and enforce a supervisory system and/or written supervisory procedures that were reasonably designed to achieve compliance with applicable laws, rules and regulations concerning the sale of interests in private placements.
 - b. As a result of that failure, GlobalLink and Liao violated NASD Rules 3010 and 2110 and FINRA Rule 2010
6. NASD Rule 3010 requires the establishment of a supervisory system and adoption of adequate Written Supervisory Policies and Procedures.
7. NASD Rule 2110 prohibits the use of material, non-public information by FINRA members to buy or sell an option, security future or an underlying security.
8. FINRA Rule 2010 requires members to comply with the efforts of FINRA staff conducting an investigation
9. Section 8.E(1)(j) of the Act provides, *inter alia*, that the registration of a salesperson may be suspended or revoked if the Secretary of State finds that such salesperson has had membership in or association with any self-regulatory organization registered under the Federal 1934 Act or the Federal 1974 Act suspended, revoked, refused, expelled, cancelled, barred, limited in any capacity, or otherwise adversely affected in a similar manner 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
10. By virtue of the foregoing, Respondent's registration as a salesperson in the State of Illinois is subject to suspension or revocation pursuant to Sections 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 130.100 et seq) (the "Rules") to file an answer to the

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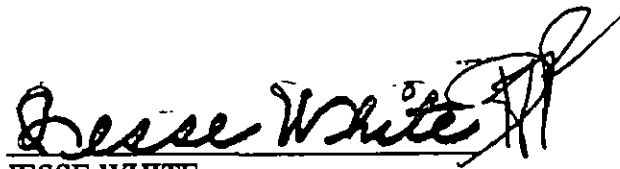
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allegations outlined above or a Special Appearance pursuant to Section 130 1107 of the Rules, or other responsive pleading within thirty (30) days of the receipt of this Notice. A failure to do so within the prescribed time shall be deemed an admission of the allegations contained in the Notice of Hearing and waives your right to a hearing.

You may be represented by legal counsel, present evidence, cross-examine witnesses and otherwise participate. However, a failure to appear shall constitute default

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

ENTERED: This 14th day of June, 2013


JESSE WHITE
Secretary of State
State of Illinois

Attorney for the Secretary of State.

Shannon Bond
Illinois Securities Department
300 W. Jefferson St , Suite 300A
Springfield, Illinois 62702
Telephone (217) 524-0648

Hearing Officer.

Jon K. Ellis