

STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT

IN THE MATTER OF: WESTON FINANCIAL SERVICES, )  
LLC AND ITS OFFICERS, )  
DIRECTORS, EMPLOYEES, )  
AFFILIATES, SUCCESSORS, )  
AGENTS, AND ASSIGNS )

File No. 1400136

NOTICE OF HEARING

TO THE RESPONDENT: James McCann, Chief Compliance Officer  
Weston Financial Services, LLC  
1120 Ave. of the Americas  
Suite 4070  
New York, NY 10036

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 16th day of July, 2014 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 suspending or revoking the registration of Weston Financial Services, LLC (the "Respondent") as a dealer in the State of Illinois and 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 relevant times, the Respondent was registered with the Secretary of State as a dealer in the State of Illinois pursuant to Section 8 of the Act through December 31, 2013 and remains so registered as of this date.

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2. Section 8.B(9)(a) of the Act requires that each dealer registered in the State of Illinois file a "Designated Principal(s) Form" (DPF) with the Secretary of State by December 31 of the current year for the next calendar year.
3. The Respondent failed to file the DPF by December 31, 2013.
4. Since October 2013, The Office of the Secretary of State, Illinois Securities Department (the "Department") has repeatedly attempted to contact the Respondent by letter and email to remind the dealer of its obligation to file the DPF and pay the required late filing fee.
5. On or about May 16, 2014, the Department received the late filing fee and requested, via phone and email, the prompt return of the DPF.
6. As of this date, the Respondent has continually failed to cooperate with the Department by filing the DPF.
7. 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.
8. By virtue of the foregoing, the Respondent has committed a violation of Section 12.D of the Act.
9. Section 8.E(1)(g) of the Act provides that the registration of a dealer may be suspended or revoked if it has violated any of the provisions of this Act.
10. Section 11.E(4) of the Act provides, *inter alia*, that if the Secretary of State, after finding that any provision of the Act has been violated, may issue an order of censure, charge costs of investigation, and impose a fine not to exceed \$10,000 for each violation of the Act.
11. Section 11.F(1) of the Act provides, *inter alia*, that the Secretary of State may suspend or revoke the registration of a salesperson and impose a fine for violation of the Act after an opportunity for hearing upon not less than 10 days notice given by personal service or registered mail or certified mail, return receipt requested, to the person or persons concerned.
12. By virtue of the foregoing, the Respondent is subject to a fine of up to \$10,000 per violation, an order of censure, and an order that suspends or revokes its registration as a dealer in the State of Illinois pursuant to Sections 8 and 11 of the Act.

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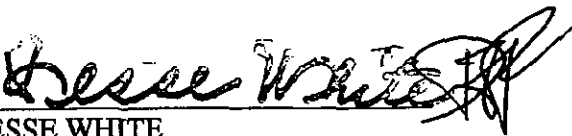
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You are further notified that you are required pursuant to Section 130.1104 of the Rules and Regulations (14 Ill. Adm. Code 130.100 et seq.) (the "Rules") to file an answer to the allegations outlined above or a Special Appearance pursuant to Section 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 19<sup>th</sup> day of May, 2014.

  
JESSE WHITE  
Secretary of State  
State of Illinois

Attorney for the Secretary of State:

Shannon Bond  
Illinois Securities Department  
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Springfield, Illinois 62702  
Telephone: (217) 524-0648

Hearing Officer:

Jon K. Ellis