

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

IN THE MATTER OF:)	
)	
THE NIEW GROUP, PROFESSIONAL ADVISORS, LLC,)	
NIEW FINANCIAL SERVICES, INC.,)	File No. 1300125
NIEW LEGAL PARTNERS, P.C.,)	
KATHLEEN NIEW.)	
)	
)	

TEMPORARY ORDER OF PROHIBITION

TO THE RESPONDENTS:

**The Niew Group, Professional Advisors, LLC
A.K.A. The Niew Group
1000 Jorie Boulevard, Suite 206
Oak Brook, IL 60523**

**Niew Financial Services, Inc.
1000 Jorie Boulevard, Suite 206
Oak Brook, IL 60523**

**Niew Legal Partners, P.C.
1000 Jorie Boulevard, Suite 206
Oak Brook, IL 60523**

**Kathleen Niew
9500 Falling Water Drive East
Burr Ridge, IL 60527**

WHEREAS, pursuant to the authority granted under Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act"), the Secretary of State has determined that the offer or sale of securities by any person in Respondents The Niew Group, Professional Advisors, LLC, Niew Financial Services, Inc., Niew Legal Partners, LLC, or by Respondent Kathleen Niew, is subject to a Temporary Order of Prohibition.

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WHEREAS, the Secretary of State finds that the grounds for such Temporary Order of Prohibition are as follows.

1. Respondent The Niew Group, Professional Advisors, LLC, hereafter (“TNG”), has been registered with the Secretary of State of Illinois as a limited liability company since June 29, 2007, and has a last known address of 1000 Jorie Boulevard, Suite 206, Oak Brook, IL 60523.
2. Respondent Niew Financial Services, Inc., hereafter (“NFS”), has been incorporated in the State of Illinois since March of 2004 as a insurance producer with the last known address of 1000 Jorie Boulevard, Suite 206, Oak Brook, IL 60523.
3. Respondent Niew Legal Partners, P.C., hereafter (“NLP”) has been incorporated in the State of Illinois since December 2006 as a law practice with the last known business address of 1000 Jorie Boulevard, Suite 206, Oak Brook, IL 60523.
4. Respondent Kathleen Niew, hereafter (“Niew”), was an attorney that was admitted to practice law in the State of Illinois in November 1981, and holds the title of President of Respondents TNG, NFS, and NLP and has the last known address of 9500 Falling Water Drive East, Burr Ridge, IL 60527.
5. The Attorney Registration & Disciplinary Commission of the Supreme Court of Illinois made a finding for disbarment against Respondent Niew on November 20, 2013, resulting from the facts alleged herein.
6. On August 27, 2013, the United States Federal Government indicted Respondent Niew for Federal Wire Fraud resulting from the facts alleged herein.
7. That beginning in 2011, Respondents began soliciting her clients, hereafter (“Victims A and B”), and began accepting funds from Victims A and B, via wire transfers, to be entrusted in Respondents’ attorney escrow account for purposes of future purchases of commercial real estate.
8. That beginning in 2011 through 2012, Respondent Niew began transferring these funds from her attorney escrow account to finance the purchase of various mining operations, going so far as to arrange for herself to receive a 20% finder’s fee in exchange for funding these various mining operations with Victims A and B’s funds.
9. That during this relevant period, Respondents never informed Victims A and B that she used the funds in her attorney escrow account to finance the purchase of various mining operations, nor did she inform Victims A and B that she received a 20% finder’s fee in exchange for funding these various mining operations. In fact, Respondent Niew maintained the position that the funds were still secure in her attorney escrow account when she knew she had transferred the funds to the mining operations.

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10. Respondents Niew and NLP finance and purchase of various mining operations constitutes the offer or sale of a security as those terms are defined in Sections 2.1, 2.5, and 2.5a of the Illinois Securities Law of 1953 [815 ILCS 5/1 *et. seq.*] (the "Act").
11. Section 12.G of the Act states *inter alia* that it shall be a violation of the provisions of this Act for any person to obtain money or property through the sale of securities by means of any untrue statement of a material fact or any omission to state a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading.
12. During the relevant period, Respondents TNG, NFS, and Niew operated a website, www.theniewgroup.com, whereby Respondents advertised they were involved in Financial Services including Investment Solutions, Retirement Planning, and Employer 401(k) plans. Respondents' phrase was, "You've earned it, now let The Niew Group help you Keep It and Grow It." When one attempts to visit the website now, it states that it is currently under construction.
13. Respondents also were listed on the websites Facebook and LinkedIn, stating that "TNG is a comprehensive financial services firm dedicated to assisting you with ALL aspects of your estate and financial planning needs."
14. During the relevant time period, Respondent Niew also hosted a weekly financial planning radio show on AM 560 the WIND on Sundays 4pm to 5pm.
15. Respondents Niew, NLP, TNG, and NFS are currently not, nor ever have been, registered with the State of Illinois, nor any other State, as a broker dealer, salesperson, investment adviser or investment adviser representative.
16. Section 8.A of the Act states *inter alia* that every dealer, salesperson, investment adviser and investment adviser representative shall be registered as such with the Secretary of State.
17. Section 12.C of the Act States it shall be a violation of the provisions of this Act for any person to act as a dealer, salesperson, investment adviser, or investment adviser representative, unless registered as such, where such registration is required, under the provisions of this Act.
18. Section 12.A states *inter alia* that it shall be a violation of the provisions of this Act for any person to offer or sell any security except in accordance with the provisions of this Act.
19. Section 11.F(2) of the Act states *inter alia* the Secretary of State may temporarily prohibit, for a maximum period of 90 days, by an order effective immediately, the offer or sale of securities, or the offer or sale of securities by any person, or the business of rendering investment advice without the notice and prior hearing in this subsection prescribed, if the Secretary of State shall in his or her opinion, based on credible

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evidence, deem it necessary to prevent an imminent violation of the Act or to prevent losses to investors which the Secretary of State reasonably believes will occur as a result of a prior violation of this Act.

NOW IT IS HEREBY ORDERED THAT:

Respondent **THE NIEW GROUP, PROFESSIONAL ADVISORS, LLC.**, and any representative or employee, is **PROHIBITED** from the offer or sale of securities to or from the State of Illinois for a period of 90 days, effective May 8, 2014, subject to further order of the Secretary of State.

Respondent **NIEW FINANCIAL SERVICES, INC.**, and any representative or employee, is **PROHIBITED** from the offer or sale of securities to or from the State of Illinois for a period of 90 days, effective May 8, 2014, subject to further order of the Secretary of State.

Respondent **NIEW LEGAL PARTNERS, P.C.**, and any representative or employee, is **PROHIBITED** from the offer or sale of securities to or from the State of Illinois for a period of 90 days, effective May 8, 2014, subject to further order of the Secretary of State

Respondent **KATHLEEN NIEW** is **PROHIBITED** from the offer or sale of securities to or from the State of Illinois for a period of 90 days, effective May 8, 2014, subject to further order of the Secretary of State.

Delivery of this Order or any subsequent notice to the designated representative of any Respondent constitutes service upon such Respondent.

Dated: This 8th day of May, 2014.



JESSE WHITE
Secretary of State
State of Illinois

A public hearing will be set within thirty (30) days of the Respondent's filing a written request for hearing with the Secretary of State at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602. Said hearing will be held at the aforesaid address before a Hearing Officer duly designated by the Secretary of State.

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YOUR FAILURE TO REQUEST A HEARING WITHIN THIRTY (30) DAYS AFTER RECEIPT OF THIS ORDER SHALL CONSTITUTE AN ADMISSION OF ANY FACTS ALLEGED HEREIN AND SHALL CONSTITUTE A SUFFICIENT BASIS TO MAKE THIS ORDER FINAL.

You are further notified that if you request a hearing that you may be represented by legal counsel, may present evidence; may cross-examine witnesses and otherwise participate. 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 and Regulations promulgated under the Illinois Securities Law and pertaining to hearings held by the Office of the Secretary of State, Illinois Securities Department, are available at the Departments website:

<http://www.cyberdriveillinois.com/departments/securities/lawrules.html>

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