

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

IN THE MATTER OF:

**THE NIEW GROUP, PROFESSIONAL
ADVISORS, LLC,
NIEW FINANCIAL SERVICES, INC.,
NIEW LEGAL PARTNERS, P.C.,
KATHLEEN NIEW.**

File No. 1300125

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, a Temporary Order of Prohibition was issued by the Illinois Secretary of State on May 8, 2014, temporarily prohibiting the Respondents from offering or selling securities in the State of Illinois for a maximum period of ninety (90) days.

WHEREAS, pursuant to Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5/1 *et. seq*] (the "Act"), the failure to request a hearing within thirty (30) calendar days of the entry of the Temporary Order of Prohibition shall constitute an admission of any alleged facts therein and constitute a sufficient basis to make the Temporary Order final.

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WHEREAS, Respondents The Niew Group, Professional Advisors, LLC, Niew Financial Services, Inc., Niew Legal Partners, P.C., and Kathleen Niew have each failed to request a hearing on the matters contained in the Temporary Order of Prohibition within thirty (30) calendar days of the entry of said Temporary Order and the Respondents are hereby deemed to have admitted the facts alleged in the said Temporary Order.

WHEREAS, the Secretary of State, has adopted the Findings of Fact contained in the said Temporary Order as the Secretary of State's Findings of Fact which 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 an 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.

COUNT I

7. That beginning in 2011, Respondent Niew, by and through Respondent NLP, began soliciting clients of Respondent NLP and Niew, 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,

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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, Respondent Niew 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 Respondent Niew inform Victims A and B that Respondent Niew 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.
10. Respondents Niew and NLP's finance and purchase of various mining operations constitutes the offer and/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. By virtue of the Foregoing, Respondents Niew and NLP each violated Section 12.G of the Act.

COUNT II

13. 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.
14. 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."
15. 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.
16. 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.

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17. 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.
18. 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.
19. 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.
20. By virtue of the Foregoing, Respondents Niew, NLP, TNG, and NFS each violated Sections 12.C and 12.A of the 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, and is **PROHIBITED** from engaging in the business of an investment advisor in or from the State of Illinois, effective June 20, 2014.


Respondent **NIEW FINANCIAL SERVICES, INC.**, and any representative or employee, is **PROHIBITED** from the offer or sale of securities, and is **PROHIBITED** from engaging in the business of an investment advisor in or from the State of Illinois, effective June 20, 2014.

Respondent **NIEW LEGAL PARTNERS, P.C.**, and any representative or employee, is **PROHIBITED** from the offer or sale of securities, and is **PROHIBITED** from engaging in the business of an investment advisor in or from the State of Illinois, effective June 20, 2014.

Respondent **KATHLEEN NIEW** is **PROHIBITED** from the offer or sale of securities, and is **PROHIBITED** from engaging in the business of an investment advisor in or from the State of Illinois, effective June 20, 2014

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

Dated: This 20th day of June, 2014.



JESSE WHITE
Secretary of State
State of Illinois

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NOTICE: Failure to comply with the terms of this Order shall be a violation of Section 12.D of the Act. Any person or entity who fails to comply with the terms of this Order of the Secretary of State, having knowledge of the existence of the Order shall be guilty of a Class 4 Felony.

This is a final order subject to administrative review pursuant to the Administrative Review Law, 735 ILCS 5/3 -101 *et seq.* and the Rules and Regulations of the Act (14 111. Admin. Code, Ch. I, Sec. 130.1123). Any action for judicial review must be commenced within thirty-five (35) days from the date a copy of this Order is served upon the party seeking review.

Attorney for the Secretary of State:
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