

FINDINGS OF FACT

1. Respondent is a firm with a principal place of business at 244 North Main Street, Mansfield, MA 02048.
2. Respondent is a broker-dealer registered in Vermont that is subject to the registration and other requirements contained in Regulation S-2016-01.
3. On April 3, 2007, Respondent was granted registration in Vermont as a broker-dealer.
4. Currently, the Respondent does not have any broker-dealer agents registered in Vermont.

CONCLUSIONS OF LAW

5. Respondent violated Regulation S-2016-01, § 3-1 a (4), which requires broker-dealer firms to have at least one agent registered in Vermont at all times.
6. Respondent is subject to a civil penalty under 9 V.S.A. § 5604 for violating Regulation S-2016-01, § 3-1 a (4).

ORDER

On the basis of the Findings of Fact, Conclusions of Law and Respondent's consent to the entry of this Order, the Commissioner ORDERS:

7. Respondent shall within ten days of the entry of this order pay an administrative penalty in the amount of \$2,000.00 to the Vermont Department of Financial Regulation.
8. Respondent shall file in Web CRD to register at least one agent in Vermont within seven days of this order's execution.

BY ORDER OF THE COMMISSIONER

Entered at Montpelier, Vermont, this 30th day of October, 2019



MICHAEL S. PIECIAK, Commissioner

Vermont Department of Financial Regulation

AGREED AND ACCEPTED BY:

Authorized agent for Respondent, Essex Securities LLC

Printed Name: MARK HANSEN

Title: CEO

Signature: Mark Hansen

Date: 10/16/18