

**ADMINISTRATIVE PROCEEDING  
BEFORE THE  
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

<b>IN THE MATTER OF:</b>	)	
	)	
<b>WILLIAM BENTON GUIDO</b>	)	<b>RULE TO SHOW CAUSE</b>
<b>CRD # 4504723,</b>	)	
	)	<b>File Number 14116</b>
<b>RESPONDENT</b>	)	
_____	)	

**WHEREAS**, Respondent William Benton Guido (“Respondent” or “Guido”), CRD #4504723, at all times material herein, was registered with the State of South Carolina as a broker-dealer agent and investment adviser representative pursuant to S.C. Code Ann. § 35-1-406; and

**WHEREAS**, on or about December 3, 2014, the Alabama Securities Commission, pursuant to the Code of Alabama 1975 §§ 8-6-3(j)(1) and (2), issued an Order against Respondent in Respondent’s capacity as a broker-dealer agent and investment adviser representative (“Administrative Order OB-2014-0022”); and

**WHEREAS**, Administrative Order OB-2014-0022 barred Respondent from transacting business as a broker-dealer agent, investment adviser, or investment adviser representative in the State of Alabama, from performing any function or activity of the securities business in the State of Alabama, and from engaging in any securities activities into, within, or from the State of Alabama; and

**WHEREAS**, the Securities Commissioner of the State of South Carolina (“Commissioner”) has jurisdiction over this matter pursuant to S.C. Code Ann. § 35-1-601(a); and

**WHEREAS**, § 35-1-412(b) authorizes the Securities Commissioner to issue an order revoking, suspending, conditioning, or limiting the registration of a registrant if the Commissioner finds that the order is in the public interest and subsection (d) of § 35-1-412 authorizes the action; and

**WHEREAS**, § 35-1-412(c) authorizes the Securities Commissioner to issue an order censuring, barring, or imposing a civil penalty in an amount not to exceed \$10,000 for each violation on a registrant if the Commissioner finds that the order is in the public interest and subsection (d) of § 35-1-412 authorizes the action; and

**WHEREAS**, § 35-1-412(d)(5)(B) of the Securities Act states that a person who:

is the subject of an order, issued after notice and opportunity for hearing, [by] the securities regulator of a State or the Securities and Exchange Commission against a broker-dealer, agent, investment adviser, investment adviser representative, or federal covered investment adviser

is subject to discipline pursuant to S.C. Code Ann. §§ 35-1-412(a), (b), and (c); and

**WHEREAS**, the Alabama Securities Commission is the securities regulator of the State of Alabama, and Administrative Order OB-2014-0022 was issued after notice and opportunity for a hearing; and

**WHEREAS**, it appears necessary and appropriate, in the public interest, for the protection of investors, and consistent with the purposes fairly intended by the policy and provisions of the Act to revoke the Respondent's registrations as a broker-dealer agent and investment adviser representative in the State of South Carolina and bar Respondent from the securities business in the State of South Carolina;

**IT IS HEREBY ORDERED** that Respondent **SHOW CAUSE**, if any there be, why an order should not be issued against Respondent, revoking Respondent's broker-dealer agent and investment adviser representative registrations and barring Respondent from the securities business in the State of South Carolina; and

**IT IS FURTHER ORDERED** that Respondent's failure to file a written answer, including any request for a hearing, within thirty (30) days from the date of service of this Rule to Show Cause, shall be deemed a waiver by Respondent of the right to a hearing and result in the entry of a Final Order revoking Respondent's broker-dealer agent and investment adviser representative registrations in the State of South Carolina and barring Respondent from the securities business in the State of South Carolina.

**ENTERED**, this the 16<sup>th</sup> day of January, 2015.  
Columbia, South Carolina

By: Tracy Meyers  
TRACY MEYERS  
Deputy Securities Commissioner

**ISSUANCE REQUESTED BY:**

  
TAYLOR FAW  
Assistant Attorney General  
Securities Division  
Rembert C. Dennis Building  
1000 Assembly Street  
Columbia, South Carolina 29201

STATE OF SOUTH CAROLINA  
OFFICE OF THE ATTORNEY GENERAL  
SECURITIES DIVISION

CERTIFICATE OF SERVICE AND  
AFFIDAVIT OF COMPLIANCE  
File Number 14116

I hereby certify that I served upon the individual/entity listed below a copy of the document indicated below and dated January 16, 2015, by serving a copy of said document upon the Securities Commissioner of the State of South Carolina and by placing a copy of said document in the United States mail, certified mail, return receipt requested, first class postage prepaid and addressed to:

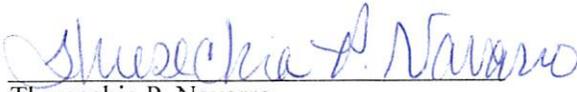
William Benton Guido  
310 Seaport Lane  
Apt. 2224  
Mt. Pleasant, SC 29464

Document(s): Summary Suspension of Broker Dealer and Investment Adviser Representative Registrations

Rule to Show Cause

Mailed January 16, 2015 from Columbia, South Carolina.

I further hereby certify, swear and affirm that, service of the above-listed entity is in compliance with Section 35-1-611, Code of Laws of South Carolina.

By:   
Thresechia P. Navarro  
South Carolina Attorney General's Office  
Securities Division  
Post Office Box 11549  
Columbia, SC 29211-1549  
(803) 734-4731

Subscribed and sworn to before me on  
this 16 day of January, 2015.

  
Notary Public for South Carolina

My commission expires: 7/2/15