

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

IN THE MATTER OF:)	
)	
Mark Christopher Hotton,)	RULE TO SHOW CAUSE
CRD #2346843,)	
)	Matter No. 14115
Respondent.)	
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WHEREAS, Respondent Mark Christopher Hotton, CRD No. 2346843, was a broker-dealer agent registered with the Division pursuant to S.C. Code Ann. § 35-1-402 between February of 1994 and May of 2012; and

WHEREAS, the Financial Industry Regulatory Authority (“FINRA”) is a self-regulatory organization, and, between 2005 and 2009, Respondent was associated with Oppenheimer and Company, Inc., CRD No. 249 (“Oppenheimer”), a member of FINRA; and

WHEREAS, FINRA found the Respondent to have willfully violated, *inter alia*, FINRA Rules 1122 and 2010 and Section 10(b) of the Securities and Exchange Act of 1934 and Rule 10b-5 thereunder while associated with Oppenheimer; and

WHEREAS, on or about August 20, 2013, FINRA, under Disciplinary Proceeding No. 2009017408101, barred the Respondent from associating with any FINRA member in any capacity; 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)(C) 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 and Exchange Commission or a self-regulatory organization suspending or expelling the registrant from membership in the self-regulatory organization

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

WHEREAS, FINRA, a self-regulatory organization, barred the Respondent from associating with any FINRA member in any capacity; and

WHEREAS, it is 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 permanently bar Respondent from the securities and investment advisory business in the State of South Carolina.

ACCORDINGLY, IT IS HEREBY ORDERED that Respondent show cause why an order should not be issued against Respondent permanently 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 shall result in the entry of a Final Order revoking permanently barring Respondent from the securities business in the State of South Carolina.

ENTERED, this the 22nd day of June, 2015.

ALAN WILSON
SECURITIES COMMISSIONER

By: Tracy Meyers
TRACY A. MEYERS
Deputy Securities Commissioner

ISSUANCE REQUESTED BY:



IAN P. WESCHLER
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 14115

I hereby certify that I served upon the individual/entity listed below a copy of the document indicated below and dated June 22, 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:

Mark Christopher Hotton, Inmate No. 81697053
MDC Brooklyn
Metropolitan Detention Center
P.O. Box 329002
Brooklyn, NY 11232



Document(s): Rule to Show Cause

Mailed June 23, 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
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 23 day of June, 2015.

[Signature]
Notary Public for South Carolina

My commission expires: 7/2/16