

BEFORE THE SECURITIES COMMISSIONER
OF THE STATE OF KANSAS



In the Matter of:

Aletheia Securities, Inc.,
(CRD# 44784)

Docket No. 14 E 002
KSC No. 2014-6126

Respondent.

_____/
Pursuant to K.S.A. 17-12a412(b)

NOTICE OF INTENT TO REVOKE BROKER-DEALER REGISTRATION

Staff for the Office of the Kansas Securities Commissioner (“KSC Staff”) alleges that there are grounds for discipline pursuant to K.S.A 17-12a412(d) and that an Order revoking Aletheia Securities, Inc.’s broker-dealer registration in the State of Kansas pursuant to K.S.A. 17-12a412(b) is in the public interest.

Based on the allegations of the KSC Staff as set forth below, it is the intention of the Securities Commissioner of the State of Kansas (the “Commissioner”) to issue Findings of Fact, Conclusions of Law and an Order, which may include, but not be limited to revocation of Respondent’s registration.

If Respondent wishes to contest the Allegations of Fact and Conclusions of Law set forth herein, Respondent must file a request for hearing within thirty (30) days after service of this Order. The request for hearing must be in the manner and form prescribed by K.A.R. 81-11-5, and it must be filed with the Office of the Securities Commissioner of Kansas, 109 SW 9th Street, Suite 600, Topeka, Kansas 66612. The request for hearing must be verified under oath by

Respondent and, if Respondent disputes any of the Allegations of Fact set forth herein, Respondent shall specifically deny the Allegations of Fact or they will be deemed admitted. In addition, Respondent may offer evidence and argument to mitigate the facts set forth herein. If facts are properly disputed, the matter will be set for hearing. **If no request for hearing is filed within thirty (30) days after service of this Order, the Commissioner will issue a Final Order, Findings of Fact and Conclusions of Law.**

Allegations of Fact

1. Respondent Aletheia Securities, Inc. ("Aletheia"), CRD 44784, is a broker-dealer with a principal place of business located at 100 Wilshire Blvd, Suite 1900, Santa Monica CA 90401. Aletheia has been registered as a broker-dealer in the State of Kansas since March 29, 2011.
2. On May 2, 2013 Aletheia was suspended from FINRA membership after it failed to file its quarterly FOCUS report.
3. The Staff of the Kansas Securities Commissioner ("KSC Staff") attempted to contact Aletheia regarding the FINRA suspension by telephone and sent three inquiry letters to Aletheia at its principal place of business. To-date, Aletheia has not responded to KSC Staff inquiries.
4. On July 18, 2013, after notice and opportunity for hearing, Aletheia was expelled from FINRA membership.
5. Revocation of Aletheia's broker-dealer registration is in the public interest.

Conclusions of Law

6. Paragraphs 1-5 are incorporated by reference as though set forth fully herein.
7. The Commissioner has jurisdiction over Respondent and this matter.

8. Aletheia's expulsion from FINRA membership, after notice and opportunity for hearing, constitutes a ground for discipline pursuant to K.S.A. 17-12a412(d)(5)(C).
9. The Commissioner may revoke Aletheia's broker-dealer registration pursuant to K.S.A. 17-12a412(b) if there is a ground for discipline and the revocation is in the public interest.

ENTERED BY THE COMMISSIONER at Topeka, Kansas, this 15th day of August, 2013.



[Redacted signature area]

Joshua A. Ney
Acting Kansas Securities Commissioner

CERTIFICATE OF SERVICE

On this 15th day of August, 2013, I was provided a copy of the aforementioned process on behalf of the Office of the Securities Commissioner. I promptly sent notice of the process to the address below, being the address set forth in the recipient's consent to service of process or last known address. The process was sent via mail, receipt requested to:

Aletheia Securities, Inc.
100 Wilshire Blvd, Suite 1900
Santa Monica CA 90401



Ryan A. Kriegshauser
Special Counsel to the Commissioner