

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)

FINAL ORDER REVOKING BROKER-DEALER REGISTRATION

1. On August 15, 2013, Joshua A. Ney, Kansas Securities Commissioner (the “Commissioner”) issued a Notice of Intent (“NOI”), alleging there were grounds for discipline pursuant to K.S.A 17-12a412(d) and that an Order revoking Respondent Aletheia Securities, Inc.’s (“Aletheia”) broker-dealer registration in the State of Kansas pursuant to K.S.A. 17-12a412(b) was in the public interest.
2. The NOI was served on Aletheia pursuant to K.S.A. 17-12a612(a) on August 15, 2013 and a copy of the NOI and notice of the service was sent via U.S. Mail, return receipt requested, to Aletheia at the last known address. Records indicate that the NOI and the notice of service was delivered at the last known address on August 23, 2013.
3. Aletheia failed to file a request for hearing within thirty (30) days after service of the NOI as prescribed by K.A.R. 81-11-5.

FINDINGS OF FACT

4. 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.
5. On May 2, 2013 Aletheia was suspended from FINRA membership after it failed to file its quarterly FOCUS report.
6. 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.
7. On July 18, 2013, after notice and opportunity for hearing, Aletheia was expelled from FINRA membership.
8. Revocation of Aletheia’s broker-dealer registration is in the public interest.

CONCLUSIONS OF LAW

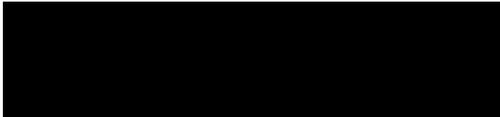
9. Paragraphs 1-5 are incorporated by reference as though set forth fully herein.
10. The Commissioner has jurisdiction over Respondent and this matter.
11. Aletheia’s expulsion from FINRA membership, after notice and opportunity for hearing, constitutes a ground for discipline pursuant to K.S.A. 17-12a412(d)(5)(C).
12. The Commissioner hereby revokes Aletheia’s broker-dealer registration pursuant to K.S.A. 17-12a412(b), because there are grounds for discipline and the revocation is in the public interest.

ORDER

NOW, THEREFORE, it is hereby Ordered that:

- A. Respondent Aletheia Securities, Inc. registration as a broker-dealer under the Kansas Uniform Securities Act is REVOKED.

ENTERED BY THE COMMISSIONER at Topeka, Kansas, this 27th day of November, 2013.

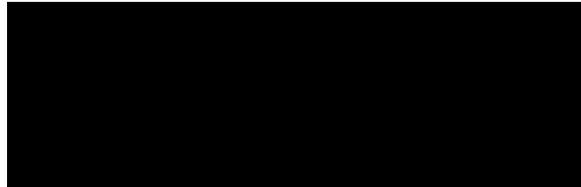


Joshua A. Ney
Kansas Securities Commissioner

CERTIFICATE OF SERVICE

On this 30th day of December, 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