

SECRETARY OF STATE
COMMISSIONER OF SECURITIES
STATE OF GEORGIA

SOS SECURITIES

IN THE MATTER OF:

The Application for Registration
as Investment Adviser Representative
on behalf of Jason Paul Flurry
CRD #2515118

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DEC 03 2013

CASE NO: ENSC-140375

DOCKET NO.: 2013-16

ORDER OF CONDITIONAL REGISTRATION

Pursuant to the authority contained in §10-5-71 of the Georgia Uniform Securities Act, O.C.G.A. §10-5-1 *et seq.* (the "Act"), the Commissioner of Securities of the State of Georgia (the "Commissioner") has, upon the application for investment adviser representative registration on behalf of Jason Paul Flurry, CRD #2515118 (the "Applicant"), initiated an inquiry into specific acts, practices and the course of business engaged in by the Applicant, and hereby issues this Order pursuant to §10-5-41 of the Act, conditioning the registration of the Applicant in the State of Georgia.

As a result of his inquiry, the Commissioner finds as follows:

I.

On or about November 15, 2013, Legacy Partners Financial Group, LLC, CRD #137025 (the "Firm"), filed an application with the Commissioner to register the Applicant as an investment adviser representative, and said application is currently pending.

II.

The Applicant is not currently registered with the Commissioner in any capacity pursuant to the provisions of the Act.

III.

Based upon a review of the Applicant and Firm's filings, and the Commissioner's inquiry, the Commissioner has determined the following:

- a. According to the Firm's Form ADV filings made with the Commissioner, Applicant has acted as an investment adviser representative of the Firm since the Firm's founding in 2005.
- b. On June 30, 2011, the Firm entered into a Consent Order for Conditional Registration (the "Firm Consent Order") with the Commissioner and paid a civil penalty in connection with the Firm's failure to properly register, prior to the date of the Firm Consent Order, as an investment adviser pursuant to §10-5-32 of the Act.
- c. Applicant was briefly registered with the Commissioner as an investment adviser representative of the Firm from July 25, 2008 to December 31, 2009, when said registration lapsed for failure to renew.
- d. As of the date of its most recent Form ADV filing, the Firm states that it manages 120 client accounts containing assets of \$22 million.
- e. Pursuant to §10-5-33(a) of the Act, in the absence of any applicable exemption from registration, it is unlawful for any person to transact business in this state as an investment adviser representative unless the individual is registered as an investment adviser representative pursuant to the Act.
- f. Pursuant to §10-5-3(a) of the Georgia Securities Act of 1973 (the "1973 Act"), applicable in this State prior to July 1, 2009, no investment adviser representative shall transact business within or from this State unless he or she is registered under the 1973 Act or otherwise exempt from such registration.
- g. Applicant violated §10-5-33(a) of the Act and §10-5-3(a) of the 1973 Act by transacting business as an investment adviser representative in Georgia, from September 2005 until the present, while not being registered or exempt from registration under either the Act or the 1973 Act, respectively.

IV.

The Commissioner has agreed to approve the Applicant's pending application for investment adviser representative registration pursuant to the following conditions:

- a. Pursuant to §10-5-41(a)(2) of the Act, upon signing the Consent on page 4 of this Order, Applicant shall concurrently remit payment of one thousand dollars and no cents (\$1,000.00) to the Commissioner. Payment shall be made by means of a certified or bank check payable to the order of the "Office of the Secretary of State."
- b. After Applicant's registration is made effective, Applicant shall report all verbal and written complaints and/or regulatory inquiries or investigations concerning matters involving Applicant, within ten (10) days of learning of same, to the Commissioner.

- c. Applicant agrees to comply with all applicable state and federal securities laws during the period of this conditional registration and any subsequent registration with the Commissioner.

V.

The conditions described in Section IV shall remain in effect for a period of one (1) year from the effective date of this Order or until Applicant ceases engaging in related business activities in this State, whichever occurs first.

So ordered, this 3rd day of DECEMBER, 2013.

**BRIAN P. KEMP
SECRETARY OF STATE
COMMISSIONER OF SECURITIES**

By:



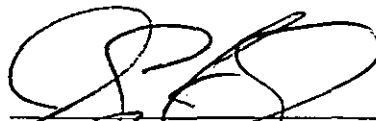
THOMAS W. ZAGORSKY
Acting Assistant Commissioner of Securities

[Additional signatures on following page]

CONSENT

The undersigned consents to the jurisdiction of the Commissioner over Applicant and this matter pursuant to the Act and 1973 Act, the issuance of this Order of Conditional Registration, and the terms and conditions set forth herein. The undersigned further waives any opportunity for a hearing and any right to appeal the entry thereof.

This 2 day of DECEMBER, 2013.



JASON PAUL FLURRY