

STATE OF NEVADA
OFFICE OF THE SECRETARY OF STATE
SECURITIES DIVISION
2250 LAS VEGAS BOULEVARD NORTH, SUITE 400
NORTH LAS VEGAS, NEVADA 89030

In the Matter of:

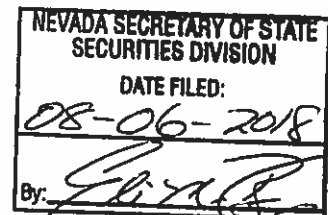
BRANDON CARL RUDOLPH, CRD No.
6379420, an individual,

Respondent.

**FINAL ORDER BARRING LICENSEE FROM
SECURITIES INDUSTRY PURSUANT TO
NRS 90.420 AND OPPORTUNITY FOR
HEARING PURSUANT TO NRS 90.800 AND
SUMMARY ORDER**

File No. INV18-089

TO: Brandon Carl Rudolph
7615 Lone Tree Peak Street
Las Vegas, NV 89166



WHEREAS, the Securities Division of the Office of the Nevada Secretary of State ("Division") duly served a copy of the Notice of Summary Order Barring Licensee from Securities Industry Pursuant to NRS 90.420 and Opportunity for Hearing Pursuant to NRS 90.800 and Summary Order ("Summary Order") filed on July 11, 2018, upon Brandon Carl Rudolph, CRD No. 6379420 ("Respondent"); and

WHEREAS, Respondent failed to request a hearing within fifteen (15) days after the Summary Order was mailed by certified mail to the last known address of Respondent as provided in NRS 90.800.

NOW THEREFORE, the Administrator of the Division, pursuant to the authority set forth in NRS 90.800, the Summary Order (a copy of which is attached hereto and incorporated herein by this reference) is hereby final.

IT IS SO ORDERED.

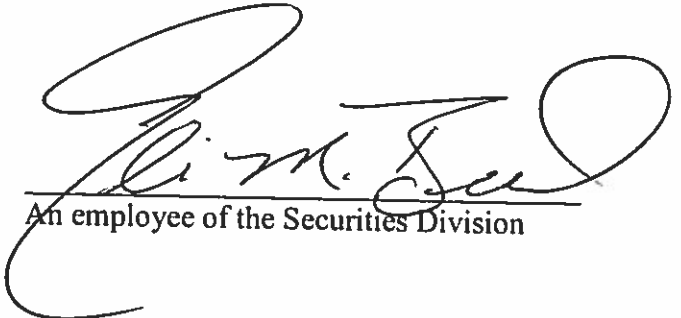
DATED this 6th day of August, 2018.


Diana J. Foley,
Securities Administrator

1 **CERTIFICATE OF MAILING**

2 I certify that I am an employee of the Office of the Nevada Secretary of State and that on this 6th
3 day of August, 2018, I have caused a copy of the foregoing **FINAL ORDER BARRING LICENSEE FROM**
4 **SECURITIES INDUSTRY**, to be served by United States Certified Mail, Return Receipt Requested, and
5 First Class Mail, to the following:

6
7 **Brandon Carl Rudolph**
8 **7615 Lone Tree Peak Street**
9 **Las Vegas, NV 89166**

10
11 
12 An employee of the Securities Division
13
14
15
16
17
18
19
20
21
22
23
24
25
26
27
28

STATE OF NEVADA
OFFICE OF THE SECRETARY OF STATE
SECURITIES DIVISION
555 EAST WASHINGTON AVENUE, SUITE 5200
LAS VEGAS, NEVADA 89101

In the Matter of:

**BRANDON CARL RUDOLPH, CRD No.
6379420, an individual,**

Respondent.

) **NOTICE OF SUMMARY ORDER**
) **BARRING LICENSEE FROM**
) **SECURITIES INDUSTRY PURSUANT**
) **TO NRS 90.420 AND OPPORTUNITY**
) **FOR HEARING PURSUANT TO NRS**
) **90.800 AND SUMMARY ORDER**

) **File No. INV18-089**

TO: Brandon Carl Rudolph
7615 Lone Tree Peak Street
Las Vegas, NV 89166

NEVADA SECRETARY OF STATE SECURITIES DIVISION DATE FILED: <i>07-11-2018</i> By: <i>[Signature]</i>
--

NOTICE OF SUMMARY ORDER BARRING LICENSEE FROM SECURITIES
INDUSTRY PURSUANT TO NRS 90.420 AND NRS 90.630(2) AND OPPORTUNITY FOR
HEARING PURSUANT TO NRS 90.800

YOU ARE HEREBY NOTIFIED that, in accordance with the legal authority granted to the Administrator of the Securities Division of the Office of the Secretary of State, State of Nevada ("Administrator"), as promulgated under Nevada Revised Statutes ("NRS") 90.800, the Administrator hereby issues this SUMMARY ORDER pursuant to NRS 90.420.

YOU ARE HEREBY FURTHER NOTIFIED that you have the right to request, in writing, a hearing on the matters set forth in this SUMMARY ORDER. YOU HAVE FIFTEEN (15) DAYS FROM RECEIPT OF THIS NOTICE TO MAIL A WRITTEN REQUEST FOR SUCH A HEARING TO THE ADMINISTRATOR. Should you fail to respond within the fifteen (15) days, this SUMMARY ORDER will become a FINAL ORDER without further action of the Administrator. If you request a hearing, the Administrator will set the matter for hearing at her earliest convenience, but not less than 15 days, nor more than 60 days, after receiving the written request for a hearing. If you request a hearing, you will be notified by Certified Mail of the date, time, and place set for the hearing.

1 **YOU ARE FURTHER NOTIFIED:**

2 **NRS 90.650, Criminal Penalties.**

3 1. A person who willfully violates:

4 (a) A provision of this chapter, except NRS 90.600, or who
5 violates NRS 90.600 knowing that the statement made is false or
6 misleading in any material respect;

7 (b) A regulation adopted pursuant to this chapter; or

8 (c) An order denying, suspending, or revoking the effectiveness
9 of registration or an order to cease and desist issued by the
10 Administrator pursuant to this chapter,

11 is guilty of a category B felony and shall be punished by imprisonment in the state
12 prison for a minimum term of not less than 1 year and a maximum term of not more
13 than 20 years, or by a fine of not more than \$500,000, or by both fine and
14 imprisonment, for each violation. In addition to any other penalty, the court shall
15 order the person to pay restitution and may order the person to repay the costs of
16 investigation and prosecution incurred by the Division and the Office of the Attorney
17 General. If the violation was committed against an older person or vulnerable person,
18 any restitution and costs of investigation and prosecution imposed by the court must
19 be in an amount equal to twice the amount that would otherwise have been imposed
20 by the court. Money recovered for reimbursement of the costs of investigation and
21 prosecution must be deposited in the State General Fund for credit to the Secretary
22 of State's Operating General Fund Budget Account.

23 2. A person convicted of violating a regulation or order under this chapter may
24 be fined, but must not be imprisoned, if the person proves lack of knowledge of the
25 regulation or order.

26 3. This chapter does not limit the power of the State to punish a person for
27 conduct which constitutes a crime under other law.

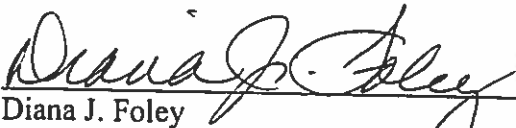
28 4. As used in this section:

(a) "Older person" has the meaning ascribed to it in NRS
200.5092.

(b) "Vulnerable person" has the meaning ascribed to it in NRS
200.5092.

DATED this 11th day of July, 2018.

SECURITIES DIVISION
OFFICE OF THE SECRETARY OF STATE


Diana J. Foley
Deputy Secretary of State for Securities

1 **SUMMARY ORDER BARRING LICENSEE FROM SECURITIES INDUSTRY**
2 **PURSUANT TO NRS 90.420**

3 **FINDINGS OF FACT**

4 1. The Administrator has reviewed the attached Complaint for Summary Order and Final
5 Order Barring Licensee from Securities Industry ("Complaint"), and for the limited purpose of this
6 Summary Order barring Brandon Carl Rudolph ("Respondent") from association with a licensed
7 broker-dealer or investment adviser, the Administrator accepts all factual allegations set forth in the
8 Complaint as true and incorporates such factual allegations herein.

9 2. Based upon the allegations contained in the Complaint, the Administrator finds that a
10 Summary Order barring Respondent from association with a licensed broker-dealer or investment
11 adviser is in the public interest and is necessary to protect the public from potential financial harm.
12

13 **CONCLUSIONS OF LAW**

14 3. Barring Respondent from association with a licensed broker-dealer or investment
15 adviser is in the public interest.

16 4. Within the last five (5) years, Respondent is or has been the subject of a suspension or
17 expulsion from membership in or association with a member of a self-regulatory organization
18 pursuant to NRS 90.420(1)(g)(2).

19 5. Within the last five (5) years, Respondent is or has been subject to an order by a self-
20 regulatory organization prohibiting him from serving in any capacity within a business or
21 organization which is a member of a self-regulatory organization pursuant to NRS 90.420(1)(g)(3).

22 6. Respondent has engaged in unethical or dishonest practices in the securities business
23 pursuant to NRS 90.420(1)(h) through his failure to comply with applicable provisions of applicable
24 rules of conduct or ethical standards promulgated by a self-regulatory organization pursuant to NAC
25 90.327.


26 ///

27 ///

28 ///

- 1
- 2
- 3
- 4
- 5
- 6
- 7
- 8
- 9
- 10
- 11
- 12
- 13
- 14
- 15
- 16
- 17
- 18
- 19
- 20
- 21
- 22
- 23
- 24
- 25
- 26
- 27
- 28

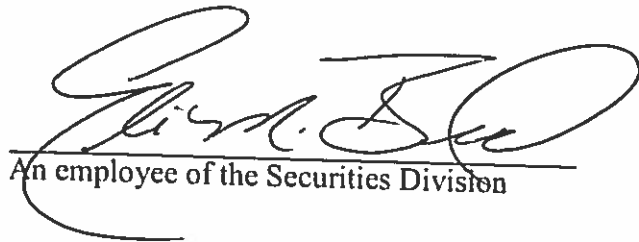
Dated this 11th day of July, 2018.


Diana J. Foley
Deputy Secretary of State for Securities

CERTIFICATE OF MAILING

I certify that I am an employee of the Office of the Nevada Secretary of State and that on this 12th day of July, 2018, I have caused a copy of the foregoing NOTICE OF SUMMARY ORDER BARRING LICENSEE FROM SECURITIES INDUSTRY PURSUANT TO NRS 90.420 AND OPPORTUNITY FOR HEARING PURSUANT TO NRS 90.800 AND SUMMARY ORDER, to be served by United States Certified Mail, Return Receipt Requested, and First Class Mail, to the following:

Brandon Carl Rudolph
7615 Lone Tree Peak Street
Las Vegas, NV 89166



An employee of the Securities Division