

1 corporation whose principal place of business is 4176 Burns
2 Road, Palm Beach Gardens, Florida 33410;

3 2. JOHN N. BREAZEALE is President and minority
4 shareholder of WEISS MONEY MANAGEMENT, INC.;

5 3. On May 2, 1995 WEISS MONEY MANAGEMENT, INC. applied
6 to be licensed as an investment adviser in the State of
7 Oregon and JOHN N. BREAZEALE applied to be licensed as a
8 salesperson for WEISS MONEY MANAGEMENT, INC. in the State of
9 Oregon;

10 4. During the period beginning November, 1994 until
11 November 7, 1995, WEISS MONEY MANAGEMENT, INC. engaged in
12 the business of advising at least eight Oregon clients as to
13 the value of securities, or the advisability of investing
14 in, purchasing or selling securities;

15 5. WEISS MONEY MANAGEMENT, INC. is not now and has
16 never been licensed to provide investment adviser services
17 in the State of Oregon.

18 CONCLUSIONS OF LAW

19 The Director **CONCLUDES** that:

20 1. WEISS MONEY MANAGEMENT, INC. conducted business in
21 Oregon as an investment adviser, as defined in
22 ORS 59.015(6), when Weiss, acting by and through its
23 authorized agents, engaged in the business of advising at
24 least eight Oregon clients as to the value of securities, or
25 the advisability of investing in, purchasing or selling
26 securities and received compensations for such services.



1 1995 WEISS MONEY MANAGEMENT, INC. transacted business as an
2 investment adviser in the State of Oregon without the
3 appropriate license, in violation of ORS 59.165.

4 **ORDER**

5 The Director, pursuant to ORS 59.245 hereby **ORDERS** that
6 Respondent **WEISS MONEY MANAGEMENT, INC.** shall **CEASE AND**
7 **DESIST** from:

8 1. Transacting business as an investment adviser in
9 the State of Oregon in violation of ORS Chapter 59.

10 2. Violating any of the provisions of ORS Chapter 59
11 or Oregon Administrative Rules Chapter 441.

12 The Director, pursuant to ORS 59.995 **HEREBY ORDERS**
13 Respondents to pay a **CIVIL PENALTY** as follows:

14 3. **WEISS MONEY MANAGEMENT, INC.** is **ORDERED TO PAY** the
15 sum of \$2000 for violations stated herein. The civil penalty
16 will be paid as follows:

17 (1) The sum of \$2000 shall be paid upon execution by
18 **WEISS MONEY MANAGEMENT, INC.**

19 The entry of this Order in no way limits further
20 remedies which may be available to the Director under Oregon
21 law to enforce this Order.

22 Dated this 3rd day of July, 1996, at Salem,
23 Oregon.

24 
25 **KERRY BARNETT, DIRECTOR**
26 **DEPARTMENT OF CONSUMER AND BUSINESS SERVICES**



CORPORATE ACKNOWLEDGMENT

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There appeared before me this 1st day of July,
1996 JOHN N. BREAZEALE, who was first duly sworn on oath,
and stated that he was and is the President of Weiss Money
Management, Inc., that he is authorized and empowered to
sign this Consent to Entry of Order and to bind Weiss Money
Management, Inc. to the terms hereof.

SUBSCRIBED to before me this 1st day of July, 1996.



JOY E. ROSE
My Comm Exp. 9/17/99
Bonded By Service Ins
No. CC496024
 Personally Known Other I.D.

Joy E. Rose

Notary Public for Palm Beach County
Florida

Joy E. ROSE
Printed Name of Notary Public

My commission expires: 9-17-99

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