

STATE OF OREGON
DEPARTMENT OF CONSUMER AND BUSINESS SERVICES
DIVISION OF FINANCE AND CORPORATE SECURITIES

In the Matter of:

Case No. S-13-0606

Nativeone Institutional Trading, LLC,
Respondent.

FINAL ORDER TO CEASE AND DESIST,
REVOKING BROKER-DEALER LICENSE,
AND ASSESSING CIVIL PENALTIES
ENTERED BY DEFAULT.

On December 30, 2013, the Director of the Department of Consumer and Business Services for the State of Oregon (the "Director"), acting under the authority of ORS 59.005 to 59.451, 59.991 and 59.995 (the "Oregon Securities Law"), the Oregon Administrative Rules promulgated thereunder, and ORS 183.415(3), served Nativeone Institutional Trading, LLC ("Nativeone") with a true copy of Administrative Order S-13-0606, ORDER TO CEASE AND DESIST, PROPOSED ORDER REVOKING BROKER-DEALER LICENSE, PROPOSED ORDER ASSESSING A CIVIL PENALTY, AND NOTICE OF RIGHT TO AN ADMINISTRATIVE HEARING (the "Notice Order").

In accordance with OAR 137-003-0075, the Notice Order designated the Division's file, including all materials submitted by Nativeone, as the record for the purpose of making a prima facie case in the event that the Director entered a final order against the Nativeone by default.

Nativeone did not timely request a hearing.

Now, therefore, after a consideration of the record, the Director issues the following Findings of Fact, Conclusions of Law, and Final Order.

Division of Finance and Corporate Securities
Labor and Industries Building
350 Winter Street NE, Suite 410
Salem, OR 97301-3881
Telephone: (503) 378-4387





FINDINGS OF FACT

The Director FINDS that:

1. Nativeone Institutional Trading, LLC (“Nativeone”) is a broker-dealer firm with a last known address of 30 Broad Street, 20th Floor; New York, NY 10004.
2. The United States Securities and Exchange Commission licensed Nativeone as a broker-dealer on November 13, 2002 (CRD # 122430). That license remains in effect as of the date of this Order.
3. The Director through the Division of Finance and Corporate Securities (the “Division”) licensed Nativeone as a broker-dealer on November 29, 2012 (BD #6404). That license remains in effect as of the date of this Order.
4. According to records on file with the Division as of December 2, 2013, Nativeone had no licensed “salesperson” in Oregon.

CONCLUSIONS OF LAW

The Director CONCLUDES that:

5. By being licensed as a broker-dealer in Oregon and not having at least one salesperson licensed in Oregon continuously during that time period, Nativeone violated ORS 59.165(2) and Oregon Administrative Rule (OAR) 441-175-0080(1)(c) promulgated thereunder.

ORDERS

6. The Director, pursuant to the authority under ORS 59.245, ORDERS Nativeone and any affiliate, successor, or assign to CEASE AND DESIST from violating any provisions of the Oregon Securities Law or the administrative rules promulgated thereunder.
7. The Director, pursuant to the authority under ORS 59.205(3), revokes Nativeone’s broker-dealer license because it failed to comply with ORS 59.165(2).
8. The Director, pursuant to the authority under ORS 59.995, assesses a CIVIL

1 PENALTY in the amount of \$10,000.00 against Nativeone for the violation of ORS 59.165(2)
2 and OAR 441-175-0080(1)(c) promulgated thereunder.

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4 AUTHORITY OF THE DIRECTOR TO SEEK OTHER REMEDIES UNDER OREGON LAW

5 9. This Order is a "Final Order" under ORS 183.310 (6)(b). Subject to that provision,
6 the entry of this Order does not limit other remedies that are available to the Director under
7 Oregon law.

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9 IT IS SO ORDERED.

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11 Dated this 13th day of February, 2014 at Salem, Oregon.

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13 PATRICK M. ALLEN, Director
14 Department of Consumer and Business Services

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17 By: /s/ David Tatman
18 David Tatman, Administrator
19 Division of Finance and Corporate Securities

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NOTICE OF RIGHT TO APPEAL

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Pursuant to ORS 59.305, a person aggrieved by an Order of the Director of the Department of Consumer and Business Services which has been the subject of a timely application for a hearing before the director shall be entitled to judicial review of the order under ORS chapter 183. Pursuant to ORS 59.295(2), a person who does not timely file a request for a hearing on an order is not entitled to judicial review.

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