

**STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT**

\_\_\_\_\_  
IN THE MATTER OF: PRESTON RUNYAN )  
\_\_\_\_\_)

FILE NO. 0900365

**NOTICE OF HEARING**

**TO THE RESPONDENT:**

Preston Runyan  
(CRD#: 1489516)  
68 Winthrop New Road  
New Sugar Road, Illinois 60554

Preston Runyan  
(CRD#: 1489516)  
C/o World Equity Group, Inc.  
1650 N. Arlington Heights Road Suite 100  
Arlington Heights, Illinois 60004-3984

You are hereby notified that pursuant to Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act") and 14 Ill. Adm. Code 130, Subpart K, a public hearing will be held at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602, on the 27<sup>th</sup> day of January, 2010 at the hour of 10:00 a.m. or as soon as possible thereafter, before James L. Kopecky Esq., or such other duly designated Hearing Officer of the Secretary of State.

Said hearing will be held to determine whether an Order shall be entered revoking Preston Runyan's (the "Respondent") registration as a salesperson in the State of Illinois and/or granting such other relief as may be authorized under the Act including but not limited to the imposition of a monetary fine in the maximum amount pursuant to Section 11.E (4) of the Act, payable within ten (10) business days of the entry of the Order.

The grounds for such proposed action are as follows:

1. That at all relevant times, the Respondent was registered with the Secretary of State as a salesperson in the State of Illinois pursuant to Section 8 of the Act.
2. That on July 29, 2009 FINRA entered Order Accepting Offer Of Settlement submitted by the Respondent ("Order") regarding Disciplinary Proceeding No. 2007007727601 Which sanctioned the Respondent as follows:

Notice of Hearing

2

- a. suspended for four (4) months from associating with any member of FINRA in any capacity; and
  - b. fined \$5,000.
3. That the Order found:

On or about November 28, 2006, the Respondent affixed the signature of JM, the spouse of a public customer, to a spousal consent provision on an individual retirement account application. At the time he affixed the spouse's signature to the document, he did not have his permission and authorization to do so; Immediately after signing the spouse's name, the Respondent signed his name for purposes of representing that he had witnessed the spouse's signature, which he had not; During all times mentioned herein, Financial Investment Corp. maintained a compliance manual which prohibited a representative from committing forgery; The individual retirement account application signed by the Respondent on behalf of JM did not contain any notation evidencing that it had been signed by someone other than JM; and The acts, practices and conduct described above constitute separate and distinct violations of NASD Conduct Rule 2110 by Respondent.

Based on the foregoing, Respondent has violated NASD Rule 2110.

4. That Section 8.E (1)(j) of the Act provides, inter alia, that the registration of a salesperson may be revoked if the Secretary of State finds that such Salesperson has been suspended by any self-regulatory organization Registered under the Federal 1934 Act or the Federal 1974 Act arising from any fraudulent or deceptive act or a practice in violation of any rule, regulation or standard duly promulgated by the self-regulatory Organization.
5. That FINRA is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.
6. That by virtue of the foregoing, the Respondent's registration as a Salesperson in the State of Illinois is subject to revocation pursuant to Section 8.E(1)(j) of the Act.

You are further notified that you are required pursuant to Section 130.1104 of the Rules and Regulations (14 ILL. Adm. Code 130) (the "Rules"), to file an answer to the allegations outlined above within thirty (30) days of the receipt of this Notice. A failure to file an answer within the prescribed time shall be construed as an admission of the allegations contained in the Notice of Hearing.

Furthermore, you may be represented by legal counsel; may present evidence; may cross-examine witnesses and otherwise participate. A failure to so appear shall constitute default, unless any Respondent has upon due notice moved for and obtained a continuance.

Notice of Hearing

3

A Link for the Rules, promulgated under the Act and pertaining to hearings held by the Office of the Secretary of State, Securities Department, is included with this Notice.  
<http://www.cyberdriveillinois.com/departments/securities/lawrules.html>

Delivery of Notice to the designated representative of any Respondent constitutes service upon such Respondent.

Dated: This 30<sup>th</sup> day of November 2009



JESSE WHITE  
Secretary of State  
State of Illinois

Attorney for the Secretary of State:  
Daniel A. Tunick  
Office of the Secretary of State  
Illinois Securities Department  
69 West Washington Street, Suite 1220  
Chicago, Illinois 60602  
Telephone: (312) 793-3384

Hearing Officer:  
James L. Kopecky  
190 S. LaSalle  
Chicago, Illinois 60603