

**ADMINISTRATIVE PROCEEDING
BEFORE THE
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

IN THE MATTER OF:)	
)	
WR&A FINANCIAL)	FINAL ORDER
SERVICES, LLC,)	
)	
<u> RESPONDENT</u>)	File Number 14088

The Securities Division of the Office of the Attorney General of the State of South Carolina (the “Division”) under the authority of the South Carolina Uniform Securities Act of 2005 (the “Act”), S.C. Code Ann. §§ 35-1-101 to 35-1-703 (Supp. 2012), instituted this proceeding by filing a Rule to Show Cause (“Rule to Show Cause”) against WR&A Financial Services, LLC (“WR&A” or “Respondent”), ordering Respondent to show cause why an order should not be issued against it, revoking Respondent’s investment adviser registration in the State of South Carolina and assessing a fine not to exceed \$10,000 against Respondent.

In the Rule to Show Cause, the Division alleged that WR&A impeded an inspection by the Division pursuant to S.C. Code Ann. § 35-1-411(d) by failing to respond to the Division’s request for information. The Rule to Show Cause notified Respondent of the Division’s intent to seek an order, pursuant to S.C. Code Ann. § 35-1-412, revoking Respondent’s registration as an investment adviser in the State of South Carolina and assessing a fine not to exceed \$10,000 against Respondent.

The Rule to Show Cause was served on Respondent at its last known address. Specifically, on or about October 20, 2014, the Division sent via certified mail, return receipt requested, a copy of the Rule to Show Cause addressed to WR&A Financial Services, LLC, 157

East Bay Street, Charleston, South Carolina 29401. Thereafter, on or about October 23, 2014, the United States Postal Service delivered the Rule to Show Cause as addressed.

As a state registered investment adviser, Respondent provided the Division with its mailing address and is under a continuing obligation to update its registration information including the mailing address as changes occur.

By failing to respond to the Rule to Show Cause, or alternatively failing to update its address of record causing its failure to receive the Rule to Show Cause, Respondent has caused the Rule to Show Cause to go into default. By allowing the Rule to Show Cause to go into default, Respondent has opened itself up to the remedy sought in the Rule to Show Cause. The remedy sought in the Rule to Show Cause was entry of a Final Order revoking Respondent's investment adviser registration in the State of South Carolina and assessing a fine not to exceed \$10,000 against Respondent.

The Securities Commissioner finds that this order is in the public interest. **IT IS THEREFORE ORDERED**, pursuant to S.C. Code Ann. § 35-1-412(d), that Respondent's registration is hereby **REVOKED**. **IT IS FURTHER ORDERED**, pursuant to S.C. Code Ann. § 35-1-412(d), that Respondent pay a civil penalty of **TEN THOUSAND DOLLARS (\$10,000)**.

Executed and entered, this the 12th day of February, 2015.

By: Alan Wilson
ALAN WILSON
Securities Commissioner
State of South Carolina