ADMINISTRATIVE PROCEEDING
BEFORE THE
SECURITIES COMMISSIONER OF SOUTH CAROLINA

IN THE MATTER OF:)
)   **RULE TO SHOW CAUSE**
THOMAS JOSEPH BUCK   )   **File Number 15055**
CRD # 1024868,   )
)
_____**Respondent.**_____)

WHEREAS, Respondent Thomas Joseph Buck (the "Respondent") CRD #1024868, at all times material herein, was registered with the State of South Carolina as a broker-dealer agent pursuant to S.C. Code Ann. § 35-1-406; and

WHEREAS, the Financial Industry Regulatory Authority ("FINRA") is a self-regulatory organization, and, during the relevant time period, Respondent was a member of FINRA; and

WHEREAS, on or about July 24, 2015, FINRA, pursuant to FINRA Acceptance, Waiver, and Consent Number 2015044745701, barred Respondent from association with any FINRA member in any capacity; and

WHEREAS, the Securities Commissioner of the State of South Carolina ("Commissioner") has jurisdiction over this matter pursuant to S.C. Code Ann. § 35-1-601(a); and

WHEREAS, § 35-1-412(c) authorizes the Commissioner to issue an order censuring, barring, or imposing a civil penalty in an amount not to exceed $10,000 for each violation, on a registrant, if the Commissioner finds that the order is in the public interest and subsection (d) of § 35-1-412 authorizes the action; and

WHEREAS, § 35-1-412(d)(5)(C) of the Securities Act states that a person who:

> is the subject of an order, issued after notice and opportunity for hearing [by] the Securities and Exchange Commission or a self-regulatory

organization suspending or expelling the registrant from membership in the self-regulatory organization

is subject to discipline pursuant to S.C. Code Ann. §§ 35-1-412(a), (b), and (c); and

WHEREAS, FINRA, a self-regulatory organization, expelled the Respondent from membership in FINRA; and

WHEREAS, it is necessary and appropriate, in the public interest, for the protection of investors, and consistent with the purposes fairly intended by the policy and provisions of the Act to bar Respondent from the securities and investment advisory business in the State of South Carolina;

ACCORDINGLY, IT IS HEREBY ORDERED that Respondent show cause why an order should not be issued against Respondent, barring Respondent from the securities and investment advisory business in the State of South Carolina; and

IT IS FURTHER ORDERED that Respondent's failure to file a written answer, including any request for a hearing, within thirty (30) days from the date of service of this Rule to Show Cause, shall be deemed a waiver by Respondent of the right to a hearing and result in the entry of a Final Order barring Respondent from the securities and investment advisory business in the State of South Carolina.

Entered, this the 4th day of August, 2015

SOUTH CAROLINA
SECURITIES DIVISION

By: _Tracy Meyers_
TRACY MEYERS
Assistant Deputy Attorney General
Securities Division
Post Office Box 11549
Columbia, South Carolina 29211
(803) 734-4731

STATE OF SOUTH CAROLINA
OFFICE OF THE ATTORNEY GENERAL
SECURITIES DIVISION

CERTIFICATE OF SERVICE AND
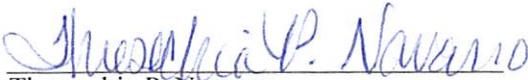AFFIDAVIT OF COMPLIANCE
File Number 15055

I hereby certify that I served upon the individual/entity listed below a copy of the document indicated below and dated August 4, 2015, by serving a copy of said document upon the Securities Commissioner of the State of South Carolina and by placing a copy of said document in the United States mail, certified mail, return receipt requested, first class postage prepaid and addressed to:

Mr. Thomas Joseph Buck
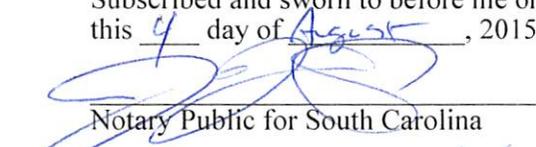12032 Clay Center Road
Carmel, IN 46032

Document(s):   Rule to Show Cause

Mailed <u>August 4, 2015</u> from Columbia, South Carolina.

I further hereby certify, swear and affirm that, service of the above-listed entity is in compliance with Section 35-1-611, Code of Laws of South Carolina.

By: _____
Thresechia P. Navarro
South Carolina Attorney General's Office
Securities Division
Post Office Box 11549
Columbia, SC 29211-1549
(803) 734-4731

Subscribed and sworn to before me on
this ____ day of _____, 2015.

_____
Notary Public for South Carolina

My commission expires: 7/2/18