

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

IN THE MATTER OF: ALETHEIA SECURITIES, INC.)
_____)

FILE NO. 1300179

TEMPORARY ORDER OF SUSPENSION

TO THE RESPONDENTS: Aletheia Securities, Inc.
(CRD #44784)
Attn: Patricia Barnes, CCO
100 Wilshire Blvd, Ste 1900
Santa Monica, CA 90401

On information and belief, I, Jesse White, Secretary of State of Illinois, through my designated representative, who has been fully advised in the premises by the staff of the Securities Department, Office of the Secretary of State, herein find:

1. Aletheia Securities, Inc. ("Aletheia") is a broker-dealer that is registered with the State of Illinois Securities Department (the "Department") as an entity engaged in the business of offering, selling or otherwise engaging in the dealing of trading of securities.
2. That at all releveant times, the Respondent Aletheia was registered with the Securaty of State as a broker-dealer in the State of Illinois pursuant to Section 8 of the Act.
3. That on June 10, 2013 FINRA entered a Suspension against Respondent and sanctioned Respondent as follows:

Pursuant to FINRA Rule 9552, Respondent Aletheia Securities, Inc.'s FINRA membership is suspended as of July 1, 2013. If the firm fails to request termination of the suspension within three months, it will be automatically expelled.
4. That FINRA found: Respondent Aletheia Securities, Inc. failed to file its quarterly focus report within 21 days after service of the notice of possible suspension.

Temporary Order of Suspension

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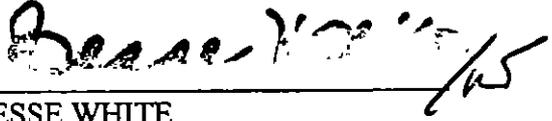
5. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a Dealer may be suspended if the Secretary of State finds that such Dealer has been suspended by any self-regulatory organization Registered under the Federal 1934 Act or the Federal 1974 Act arising from any fraudulent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

NOW THEREFORE IT IS HEREBY ORDERED THAT: pursuant to the authority granted by Section 11.F of the Act, **Respondent Aletheia Securities, Inc.** is **SUSPENDED** from offering or selling securities in or from this State until the further Order of the Secretary of State.

NOTICE is hereby given that Respondents may request a hearing on this matter by transmitting such request in writing to Tanya Solov, Director, Illinois Securities Department, 69 West Washington Street, Suite 1220, Chicago, Illinois 60602. Such request must be made within thirty (30) calendar days of the date of entry of the Temporary Order of Suspension. Upon receipt of a request for hearing, a hearing will be scheduled as soon as reasonable practicable. A request for hearing will not stop the effectiveness of this Temporary Order and will extend the effectiveness of this Temporary Order for sixty days from the date the hearing request is received by the Department.

FAILURE BY ANY RESPONDENT TO REQUEST A HEARING WITHIN THIRTY (30) CALENDAR DAYS AFTER ENTRY OF THIS TEMPORARY ORDER OF SUSPENSION SHALL CONSTITUTE AN ADMISSION OF ANY FACTS ALLEGED HEREIN AND SHALL CONSTITUTE SUFFICIENT BASIS TO MAKE THIS TEMPORARY ORDER OF SUSPENSION FINAL.

Dated: This 18th day of October 2013.



JESSE WHITE
Secretary of State
State of Illinois

Temporary Order of Suspension

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Attorney for the Secretary of State:
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