

5. Horowitz & Associates terminated BLACKMON on November 5, 2004, after learning that BLACKMON had violated the firm's written supervisory policies regarding advertising and communications with the public. Horowitz determined that from March 2004 to October 2004 BLACKMON held a series of seminars in the Huntsville, Alabama area without the firm's knowledge or consent. Horowitz & Associates also determined that BLACKMON distributed handouts to attendees of the seminars which had neither been reviewed nor approved by Horowitz compliance personnel. The Commission has also received information from seminar attendees disclosing that BLACKMON focused on tax, and investment related issues with specific focus on the retirement community during the seminars.

CONCLUSIONS OF LAW

6. That the activity set forth in paragraphs 2 through 5 above, constitutes a pattern of dishonest and unethical business practices on the part of BLACKMON in the securities business.

7. That pursuant to Section 8-6-3(j)(7), Code of Alabama 1975, the Commission may suspend or revoke any registration, or censor or bar any applicant or registrant from employment with a securities dealer if the Commission finds that the Order is in the public interest, and that the registrant has engaged in dishonest or unethical practices in the securities business.

This Order is appropriate in the public interest for the protection of investors and consistent with the purposes of the Alabama Securities Act.

This Order does not prevent the Commission from seeking such other civil or criminal remedies that may be available to it under the Alabama Securities Act.

ACCORDINGLY, IT IS HEREBY ORDERED that BRIAN ALAN BLACKMON **SHOW CAUSE** to the Commission, within 28 days of the date of this Order, why his registration as an Agent should not be permanently barred in the state of Alabama.

Entered at Montgomery, AL, this 7th day of January, 2005



ALABAMA SECURITIES COMMISSION
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BY:

A handwritten signature in black ink, appearing to read "Joseph P. Borg", is written over a horizontal line. The signature is stylized and somewhat illegible due to its cursive nature.

JOSEPH P. BORG
Director