



COMMONWEALTH OF KENTUCKY
PUBLIC PROTECTION CABINET
DEPARTMENT OF FINANCIAL INSTITUTIONS
AGENCY CASE NO. 2015-AH-0084

DEPARTMENT OF FINANCIAL INSTITUTIONS

COMPLAINANT

v.

MERIDIAN WEALTH MANAGEMENT, LLC

RESPONDENT

AGREED ORDER

BACKGROUND AND FACTUAL FINDINGS

1. The Department of Financial Institutions (“DFI”) is the agency of Kentucky state government charged with enforcement of the provisions of KRS Chapter 292 (the “Securities Act of Kentucky”) and the rules and regulations enacted thereunder.

2. Meridian Wealth Management, LLC (“Meridian”) is a SEC Covered Adviser with its principal office located at 250 West Main Street, Suite 3150, Lexington, Kentucky 40507, having CRD # 151523.

3. DFI reviewed the records provided by Meridian in December 2014 related to payments made to investment adviser representatives during 2014.

4. Based upon this review, DFI determined that Meridian violated KRS 292.330(10) by employing or associating with an unregistered investment adviser representative during 2014.

AGREEMENT AND ORDER

5. The DFI possesses a range of administrative authority in addressing violations of KRS Chapter 292 and the administrative regulations promulgated thereunder, including registration suspension, limitation, revocation, and the imposition of fines in an amount up to \$20,000 per violation. *See* KRS 292.337; 292.500(14).

6. In this case, the DFI assessed a fine against Meridian in the amount of one thousand five hundred dollars (\$1,500) for the above-described violation of KRS 292.330(10).

7. The Department of Financial Institutions and Meridian, in the interest of economically and efficiently resolving the violations described in the foregoing Background and Factual Findings, agree as follows:

a. Meridian agrees to pay a fine in the amount of One Thousand Five Hundred Dollars (\$1,500) for the violation set forth above, which shall be made payable to the "Kentucky State Treasurer" and mailed to the Department of Financial Institutions, Attn: Division of Securities, 1025 Capital Center Drive, Suite 200, Frankfort, Kentucky 40601. Payment shall be due upon entry of this Agreed Order, and must be made by certified check or money order; and

b. Meridian shall devote the time and resources necessary to ensure full and continual compliance with KRS Chapter 292 and the regulations promulgated thereunder.

8. In regard to this matter, Meridian waives its right to demand a hearing, at which Meridian would be entitled to legal representation, to confront and cross examine witnesses for DFI, and to present evidence on its own behalf. Further, Meridian consents to and acknowledges the jurisdiction of DFI over this matter, and acknowledges that this Agreed Order is a matter of public record and may be disseminated as such.

9. In consideration of the execution of this Agreed Order, Meridian, for itself, and for its successors and assigns, hereby releases and forever discharges the Commonwealth of Kentucky, the DFI, the Office of Legal Services, and each of their members, agents and employees in their individual capacities, from any and all manner of actions, causes of actions,

suits, debts, judgments, executions, claims and demands whatsoever, known and unknown, in law or equity, that Meridian ever had, now has, may have or claim to have against any and all of the persons or entities named in this paragraph arising out of or by reason of this examination or this order.

10. By signing below, the parties acknowledge that they have read the foregoing Agreed Order, know and understand its contents, and that they are authorized to enter into and execute this Agreed Order and legally bind their respective parties.

11. This Agreed Order shall constitute the Final Order in this matter.

IT IS SO ORDERED on this the 27th day of June, 2015.


Charles A. Vice, Commissioner *Charles Vice*

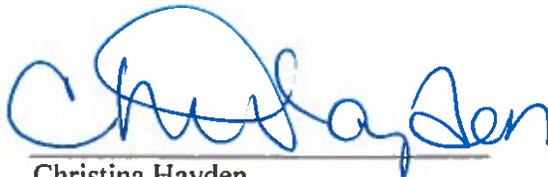
CERTIFICATE OF SERVICE

I hereby certify that a copy of the foregoing Agreed Order was sent by certified United States mail, return receipt requested, on this the 24 day of June, 2015, to the following:

Greg Couch
Meridian Wealth Management, LLC
250 West Main Street, Suite 3150
Lexington, Kentucky 40507

And by hand delivery to:

John C. Allender
Legal Counsel
Department of Financial Institutions
1025 Capital Center Drive, Suite 200
Frankfort, Kentucky 40601



Christina Hayden
Department of Financial Institutions