

COMMONWEALTH OF KENTUCKY
PUBLIC PROTECTION CABINET
DEPARTMENT OF FINANCIAL INSTITUTIONS
AGENCY CASE NO. 2014-AH-109

ENTERED
SEP 12 2014
COMMISSIONERS OFFICE

IN THE MATTER OF:
SWENDIMAN WEALTH STRATEGIES, INC.
1256 AUDUBON ROAD
PARK HILLS, KY 41011

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. Swendiman Wealth Strategies, Inc. is a Kentucky registered Investment Adviser with its principal office is located at 1256 Audubon Road, Park Hills, Kentucky 41011.

3. On December 4, 2013, the DFI, Division of Securities, conducted a routine examination into the condition, workings and affairs of Swendiman Wealth Strategies, Inc. to determine whether it was operating in compliance with applicable laws and regulation, and in the public interest.

4. In the course of that examination it was discovered that Swendiman Wealth Strategies, Inc. violated KRS 292.330(10) by associating with an unregistered investment adviser representative, James Craig Roddy.

AGREEMENT AND ORDER

5. The Department of Financial Institutions and Swendiman Wealth Strategies, Inc., in the interest of economically and efficiently resolving the violation described in the foregoing Background and Factual Findings, agree as follows:

6. Swendiman Wealth Strategies, Inc. 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 may be made on or before the date of entry of this Order and shall be in the form of a certified check or bank wire transfer.

7. The terms of this Agreed Order do not constitute an admission of wrongdoing or deficiency on the part of Matthew A. Swendiman in his personal capacity.

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

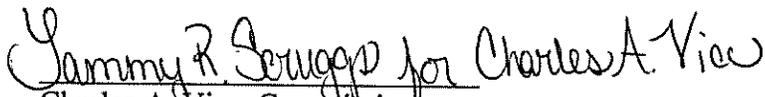
9. In consideration of the execution of this Agreed Order, Swendiman Wealth Strategies, Inc., for itself, and for its successors and assigns, hereby releases and forever discharges the Commonwealth of Kentucky, the DFI, Office of Legal Services, and each of their members, agents and employees in their 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 Swendiman Wealth Strategies, Inc. 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 12th day of September, 2014.


Charles A. Vice, Commissioner

Consented to:

This 11 day of September, 2014



Shonita Bossier, Director
Division of Securities
Department of Financial Institutions

Consented to:

This 9th day of September, 2014



Matthew A. Swendiman, President
Swendiman Wealth Strategies, Inc.

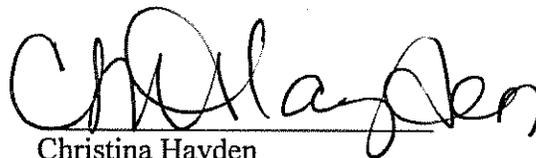
CERTIFICATE OF SERVICE

I hereby certify that a copy of the foregoing Agreed Order was sent by United States mail on this the 12 day of September, 2014, to the following:

Matthew A. Swendiman, President
Swendiman Wealth Strategies, Inc.
1256 Audubon Road
Park Hills, KY 41011

And by hand delivery to:

William Owsley
Legal Counsel
Department of Financial Institutions
1025 Capital Center Drive, Suite 200
Frankfort, KY 40601

A handwritten signature in black ink, appearing to read "CH Hayden". The signature is written in a cursive style with a horizontal line underneath the name.

Christina Hayden
Department of Financial Institutions