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BEFORE THE ARKANSAS SECURITIES COMMISSIONER 11 NOV -7 PM 12:05

CASE NO. S-11-0352

ARKANSAS SECURITIES DEPT.

IN THE MATTER OF:

ORDER NO. S-11-0352-11-OR01

REGISTRATION OF BRIAN GROH
WITH J W COLE FINANCIAL, INC.

ORDER GRANTING LIMITED REGISTRATION

This Order is entered pursuant to the Arkansas Securities Act ("Act"), Ark. Code Ann. §§ 23-42-101 through 23-42-509, the Rules of the Arkansas Securities Commissioner ("Rules"), and the Arkansas Administrative Procedures Act, Ark. Code Ann. §§ 25-15-101 through 25-15-219.

FINDINGS OF FACT

1. On September 26, 2011, an application for registration was filed with the Arkansas Securities Department ("Department") for Brian J. Groh ("Groh"), CRD # 2478507, to be registered as a broker-dealer agent with J. W. Cole Financial, Inc. ("JW Cole"), CRD # 124583, a registered broker-dealer.
2. While registered with another broker-dealer, Groh had only one client account in Arkansas. The client account was for his in-laws. In a letter to the Department dated October 24, 2011 Groh requested that his registration be approved for the sole purpose of serving as the agent of the one existing account he has in Arkansas.

CONCLUSIONS OF LAW

3. Ark. Code Ann. § 23-42-302(a)(2) provides that the Commissioner may, by order, approve a limited registration with such limitations, qualifications, or conditions as the Commissioner deems appropriate.

ORDER

The application of Brian J. Groh for registration as an agent of J. W. Cole Financial, Inc. is hereby approved, but this approval is limited, so that Groh may only conduct broker-dealer activity for one Arkansas client, an existing broker-dealer account for his in-laws. Groh may not solicit, open, or conduct broker-dealer business activity in any additional client accounts in Arkansas.

IT IS SO ORDERED.



A. HEATH ABSHURE
Arkansas Securities Commissioner

November 7, 2011
DATE