

**ADMINISTRATIVE PROCEEDING  
BEFORE THE  
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

<b>IN THE MATTER OF:</b>	)	<b>SUMMARY SUSPENSION OF</b>
	)	<b>BROKER-DEALER</b>
<b>HALCYON CABOT</b>	)	<b>REGISTRATION</b>
<b>PARTNERS, LTD.</b>	)	
<b>CRD # 32664,</b>	)	<b>File Number 16010</b>
<b>RESPONDENT</b>	)	
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**WHEREAS**, the Securities Division of the Office of the Attorney General of the State of South Carolina has been authorized and directed by the Securities Commissioner of South Carolina (the "Securities Commissioner") to administer the provisions of S.C. Code Ann. § 35-1-101, *et seq.*, the South Carolina Uniform Securities Act of 2005 (the "Act"); and

**WHEREAS**, pursuant to S.C. Code Ann. § 35-1-412(f), the Securities Commissioner may summarily suspend a Respondent's registration before the final determination of an administrative proceeding;


**NOW THEREFORE**, upon due consideration of the subject matter contained in a related administrative proceeding under the Act having the same file number, **16010**, and having reason to believe that the Respondent violated certain provisions of the Act and the Rules promulgated thereunder;

**IT IS HEREBY ORDERED** that, pursuant to S.C. Code Ann. § 35-1-412(f), the registration of Halcyon Cabot Partners, Ltd. as a broker-dealer has been and is **SUMMARILY SUSPENDED**. Unless modified or vacated in accordance with the Act, this suspension will remain in effect pending resolution of the related proceeding.

**ENTERED**, this the 10th day of February, 2016.  
Columbia, South Carolina

By: Tracy Meyers  
TRACY A. MEYERS  
Deputy Securities Commissioner

**ISSUANCE REQUESTED BY:**

  
TAYLOR FAW  
Assistant Attorney General  
Securities Division  
Rembert C. Dennis Building  
1000 Assembly Street  
Columbia, SC 29201

**NOTICE AND OPPORTUNITY FOR A HEARING**

Pursuant to S.C. Code Ann. § 35-1-412(f), Respondent is hereby given notice that it may request a hearing on the summary suspension by giving written notice to Thresechia Navarro, Post Office Box 11549, Rembert C. Dennis Building, Columbia, South Carolina 29211-1549. In the event such a hearing is requested, within fifteen (15) business days after the receipt of a written request the matter will be set down for hearing. In the event such written notice is not received, the attached Summary Suspension remains in effect pending resolution of the related proceeding unless it is modified or vacated in accordance with the Act.

**ADMINISTRATIVE PROCEEDING  
BEFORE THE  
SECURITIES COMMISSIONER OF SOUTH CAROLINA**

<b>IN THE MATTER OF:</b>	)	
	)	
<b>HALCYON CABOT</b>	)	<b>RULE TO SHOW CAUSE</b>
<b>PARTNERS, LTD.</b>	)	<b>File Number 16010</b>
<b>CRD # 32664,</b>	)	
<b><u>Respondent.</u></b>	)	

**WHEREAS**, Respondent Halcyon Cabot Partners, Ltd., (the “Respondent”) CRD #32664, at all times material herein, was registered with the State of South Carolina as a broker-dealer pursuant to S.C. Code Ann. § 35-1-406; and

**WHEREAS**, the Financial Industry Regulatory Authority (“FINRA”) is a self-regulatory organization, and, during the relevant time period, Respondent was a member of FINRA; and

**WHEREAS**, on or about October 06, 2015, FINRA, pursuant to FINRA Decision and Order of Offer of Settlement Number 2012033877802, expelled Respondent from FINRA membership; and

**WHEREAS**, the Securities Commissioner of the State of South Carolina (“Commissioner”) has jurisdiction over this matter pursuant to S.C. Code Ann. § 35-1-601(a); and

**WHEREAS**, § 35-1-412(c) authorizes the Commissioner to issue an order censuring, barring, or imposing a civil penalty in an amount not to exceed \$10,000 for each violation, on a registrant, if the Commissioner finds that the order is in the public interest and subsection (d) of § 35-1-412 authorizes the action; and

**WHEREAS**, § 35-1-412(d)(5)(C) of the Securities Act states that a person who:

is the subject of an order, issued after notice and opportunity for hearing [by] the Securities and Exchange Commission or a self-regulatory

organization suspending or expelling the registrant from membership in the self-regulatory organization

is subject to discipline pursuant to S.C. Code Ann. §§ 35-1-412(a), (b), and (c); and

**WHEREAS**, FINRA, a self-regulatory organization, expelled the Respondent from membership in FINRA; and

**WHEREAS**, it is necessary and appropriate, in the public interest, for the protection of investors, and consistent with the purposes fairly intended by the policy and provisions of the Act to bar Respondent from the securities business in the State of South Carolina;

**ACCORDINGLY, IT IS HEREBY ORDERED** that Respondent show cause why an order should not be issued against Respondent, barring Respondent from the securities business in the State of South Carolina; and

**IT IS FURTHER ORDERED** that Respondent's failure to file a written answer, including any request for a hearing, within thirty (30) days from the date of service of this Rule to Show Cause, shall be deemed a waiver by Respondent of the right to a hearing and result in the entry of a Final Order barring Respondent from the securities business in the State of South Carolina.

Entered, this the 10<sup>th</sup> day of February, 2016

SOUTH CAROLINA  
SECURITIES DIVISION

By: Tracy Meyers  
TRACY MEYERS  
Deputy Securities Commissioner  
Securities Division  
Post Office Box 11549  
Columbia, South Carolina 29211  
(803) 734-4731

**ISSUANCE REQUESTED BY:**



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TAYLOR FAW

Assistant Attorney General  
Securities Division  
Rembert C. Dennis Building  
1000 Assembly Street  
Columbia, SC 29201

STATE OF SOUTH CAROLINA  
OFFICE OF THE ATTORNEY GENERAL  
SECURITIES DIVISION

CERTIFICATE OF SERVICE AND  
AFFIDAVIT OF COMPLIANCE  
File Number 16010

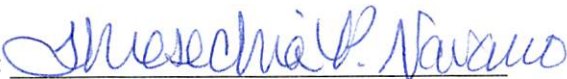
I hereby certify that I served upon the individual/entity listed below a copy of the document indicated below and dated February 10, 2016, by serving a copy of said document upon the Securities Commissioner of the State of South Carolina and by placing a copy of said document in the United States mail, certified mail, return receipt requested, first class postage prepaid and addressed to:

Halcyon Cabot Partners, Ltd.  
767 Third Avenue, 17<sup>th</sup> Floor  
New York, NY 10017

Document(s): Summary Suspension of Broker-Dealer Registration  
Rule to Show Cause

Mailed February 10, 2016 from Columbia, South Carolina.

I further hereby certify, swear and affirm that, service of the above-listed entity is in compliance with Section 35-1-611, Code of Laws of South Carolina.

By:   
Thresechia P. Navarro  
South Carolina Attorney General's Office  
Securities Division  
Post Office Box 11549  
Columbia, SC 29211-1549  
(803) 734-4731

Subscribed and sworn to before me on  
this 10<sup>th</sup> day of February, 2016.

  
Notary Public for South Carolina

My commission expires: 6/29/21