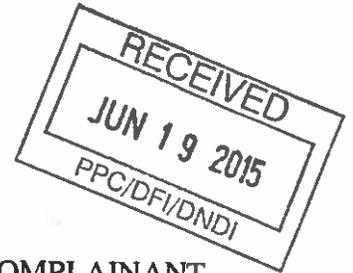




COMMONWEALTH OF KENTUCKY  
PUBLIC PROTECTION CABINET  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
AGENCY CASE NO. 2015-AH-0088



DEPARTMENT OF FINANCIAL INSTITUTIONS

COMPLAINANT

v.

TATRO CAPITAL, 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. Tatro Capital, LLC (“Respondent”) is a Kentucky registered Investment Adviser with its principal office located at 104 Richmond Avenue, Nicholasville, Kentucky 40356, having CRD # 133783.

3. DFI conducted a routine investment adviser examination of Respondent on March 12, 2014. A subsequent examination of another Kentucky registered investment adviser, EDC Financial Services, LLC (“EDC”) with its principal office located at 104 Richmond Avenue, Nicholasville, Kentucky 40356, having CRD #139658 on May 1, 2014 revealed that Respondent failed to request multiple registration for Mark T. Hendrix (CRD# 3148927), one of its investment adviser representatives in violation of KRS 292.330(14) and 808 KAR 10:030, Section 6. For the period September 2013 through May 4, 2014, Mark T. Hendrix held himself out as an investment adviser representative of both EDC and the Respondent.

## 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 Respondent in the amount of one thousand five hundred dollars (\$1,500) for the above-described violation of KRS 292.330(14) and 808 KAR 10:030, Section 6.

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

a. Respondent 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. Respondent 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, Respondent waives its right to demand a hearing, at which Respondent would be entitled to legal representation, to confront and cross examine witnesses for DFI, and to present evidence on its own behalf. Further, Respondent 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, Respondent, 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 Respondent 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 24<sup>th</sup> day of June, 2015.

  
Charles A. Vice, Commissioner *Charles Vice*



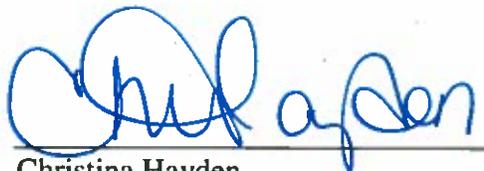
**CERTIFICATE OF SERVICE**

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:

William Tatro  
Tatro Capital, LLC  
104 Richmond Road  
Nicholasville, Kentucky 40356

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