

**STATE OF MICHIGAN
DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
CORPORATIONS, SECURITIES & COMMERCIAL LICENSING BUREAU**

In the matter of:

Agency No. 338838

JORDAN DEAN MAIN
CRD No. 4520794

Registrant.

_____ /

This 25th day of April, 2019

Issued and entered

**ORDER LIFTING CONDITIONS FROM INVESTMENT ADVISER
REPRESENTATIVE REGISTRATION**

A. RELEVANT INFORMATION AND STATUTORY PROVISIONS, under the Michigan Uniform Securities Act (2002) (“the Act”), 2008 PA 551, as amended, MCL 451.2101 *et seq.*:

1. Jordan Dean Main (“Registrant”), CRD No. 4520794, is conditionally registered as an investment adviser representative through Coppel Advisory Solutions, LLC, d/b/a Fusion Capital Management, CRD/IARD# 156549 (“Fusion”), a federal covered investment adviser properly notice-filed in Michigan.

2. Registrant has been conditionally registered since on or around December 20, 2017 when the Director (“Administrator”) of the Corporations, Securities, and Commercial Licensing Bureau (“the Bureau”) within the State of Michigan Department of Licensing and Regulatory Affairs issued a Stipulation and Order Approving Investment Adviser Representative Conditional Registration (“Conditional Registration Order”); the initial Conditional Registration Order identified AE Wealth Management, LLC, CRD/IARD# 282580, as Registrant’s employing firm. (Exhibit 1 – Conditional Registration Order).

3. Thereafter, upon request by Applicant and Fusion, the Conditional Registration Order was amended by an Order dated June 15, 2018 (“Amended Order”) to reflect Fusion as Registrant’s employing investment adviser. (Exhibit 2 – Amended Conditional Registration Order).

4. The Conditional Registration Order required AE Wealth Management, LLC and the Amended Order required Fusion to perform specific supervisory functions during the term of Registrant’s conditional registration.

5. The Amended Order, at paragraph B.3, permitted Registrant and Fusion to request in writing that the conditions be lifted one year after entry of the Conditional Registration Order.

6. By correspondence dated January 2, 2019 and in follow-up correspondence thereafter, Registrant and Fusion requested in writing that the Amended Order be lifted and that the conditions

on the registration be removed. The written request was more than one year from the date of entry of the Conditional Registration Order and provided evidence of compliance with the terms and conditions of the Conditional Registration Order and the Amended Order.

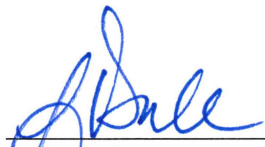
7. The Administrator has reviewed the information related to Registrant's Conditional Registration Order and the Amended Order, as well as his conduct thereunder and determined that it is authorized, appropriate, and in the public interest to lift the conditions imposed on Registrant by the Amended Order.

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B. ORDER

NOW, THEREFORE, the Administrator ORDERS:

1. THE CONDITIONS IMPOSED BY THE JUNE 15, 2018 AMENDED STIPULATION AND ORDER FOR INVESTMENT ADVISER REPRESENTATIVE REGISTRATION ARE HEREBY LIFTED.
2. UNTIL FURTHER ORDER BY THE ADMINISTRATOR OR WITHDRAWAL OF THE REGISTRATION, REGISTRANT JORDAN DEAN MAIN, CRD NO. 4520794, IS REGISTERED AS AN INVESTMENT ADVISER REPRESENTATIVE ASSOCIATED WITH COPPELL ADVISORY SOLUTIONS, LLC d/b/a FUSION CAPITAL MANAGEMENT, CRD/IARD# 156549, WITHOUT CONDITION OR LIMITATION.
3. REGISTRANT'S STATUS ON THE CENTRAL REGISTRATION DEPOSITORY SHALL BE UPDATED TO "APPROVED" EFFECTIVE ON THE DATE OF SERVICE OF THIS ORDER.
4. THE ADMINISTRATOR RESERVES THE RIGHT TO REVOKE, SUSPEND, CONDITION, OR LIMIT REGISTRANT'S REGISTRATION IN THE FUTURE IF SUCH AN ORDER IS AUTHORIZED, APPROPRIATE, AND IN THE PUBLIC INTEREST UNDER SECTION 412 OF THE ACT, MCL 451.2412.



Julia Dale
Administrator and Director
Corporations, Securities & Commercial Licensing Bureau

4/25/19
Date

**STATE OF MICHIGAN
DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
CORPORATIONS, SECURITIES & COMMERCIAL LICENSING BUREAU**

In the matter of:

Agency Nos. 333601 & 336578

JORDAN DEAN MAIN
CRD No. 4520794

Applicant.

_____ /

This 15th day of June, 2018

**AMENDED STIPULATION AND ORDER
APPROVING INVESTMENT ADVISER REPRESENTATIVE
CONDITIONAL REGISTRATION**

A. RELEVANT INFORMATION AND STATUTORY PROVISIONS, under the Michigan Uniform Securities Act (2002) (the “Act”), 2008 PA 551, MCL 451.2101 *et seq.*:

1. Jordan Dean Main (“Applicant”), CRD No. 4520794, has been registered as an investment adviser representative of AE Wealth Management, LLC (“AE Wealth”), CRD No. 282580, pursuant to a Stipulation and Order Approving Investment Adviser Representative Conditional Registration (“2017 Conditional Registration”), which was entered by the Administrator of the Act (“Administrator”) on or around December 20, 2017. (Exhibit 1 – 2017 Conditional Registration). Applicant’s regulatory history identified in the 2017 Conditional Registration remains accurate and is not modified by this Amended Stipulation and Order.
2. Applicant intends to cease his employment and association with AE Wealth on or around July 1, 2018. AE Wealth intends to terminate Applicant’s investment adviser representative registration on or around July 1, 2018 and will cease its association with and supervision of Applicant upon the termination of Applicant’s registration.
3. On May 24, 2018, Applicant filed an application with the Department for registration as an investment adviser representative in Michigan (“2018 Application”) through Coppel Advisory Solutions, LLC, d/b/a Fusion Capital Management (“Fusion”), CRD No. 156549, a Texas-based, a Securities and Exchange Commission-registered and Michigan-notice filed federal covered investment adviser. The 2018 Application became complete on or around May 24, 2018.
4. Fusion, by correspondence dated May 29, 2018, represented to the Department in connection with the 2018 Application that it will agree to supervise Applicant under the same terms and conditions that AE Wealth agreed to in connection with the 2017 Conditional Registration. Fusion intends to begin its supervision of Applicant on the earlier of July 1, 2018 or the date that AE Wealth ceases its association with or supervision of Applicant.

5. Applicant will be working at the following address:

Address: 8273 Grand River Ave., Suite 130
Brighton, Michigan 48114
Telephone: 248-347-6246
E-mail: jordanmain@mainfinancialgroup.com

6. Applicant will be supervised by the following Supervisor or Compliance Officer at Fusion who works at the address indicated:

Name: Jonathan Joshua Cravens, CRD No. 4274980
Title: Chief Compliance Officer
Fusion Capital Management, CRD No. 156549
Address: 870 South Denton Tap Road, Unit 250
Coppell, TX 75019
Telephone: 866-254-4235
E-mail: jcravens@fusioncm.com

7. Applicant, AE Wealth, and the Department (collectively, the “Parties”) acknowledged and agreed that Applicant’s disciplinary history provided grounds for the Administrator to deny Applicant’s 2017 Application for registration as an investment adviser representative, as provided in the 2017 Notice of Intent to Deny and pursuant to Section 412 of the Act, MCL 451.2412. Applicant and Fusion acknowledge that Applicant’s disciplinary history continues to provide the Administrator with grounds to deny or condition his registration as an investment adviser representative of Fusion pursuant to section 412 of the Act, MCL 451.2412.
8. Notwithstanding that a basis existed for denying Applicant’s 2017 Application, the Department and Administrator determined that: (a) protection of the investing public did not require denial if Applicant and AE Wealth agreed to registration subject to the terms and conditions specified in the 2017 Conditional Registration; and (b) the conditional registration of Applicant pursuant to the 2017 Conditional Registration was authorized by law and otherwise reasonable, appropriate, and in the public interest. The Department and Administrator have determined that these same conditions exist today, and do not preclude amendment of the 2017 Conditional Registration to allow Applicant to cease employment with AE Wealth and to associate with Fusion.
9. Applicant, Fusion, and the Department acknowledge that the Administrator may amend the 2017 Conditional Registration through this Amended Stipulation and Order to reflect that applicant will cease employment with or association as an investment adviser representative of AE Wealth and immediately begin employment or association as an investment adviser representative through Fusion on or around July 1, 2018. Fusion, in connection with the 2018 Application and the entry of this 2018 Stipulation and Order amending the 2017 Conditional Registration, will assume all responsibilities previously assigned to AE Wealth under the 2017 Conditional Registration.

B. STIPULATION

Therefore, the Department, Applicant, and Fusion (“the Parties”) agree to this Stipulation enabling the Administrator to conditionally register Applicant as an investment adviser representative of Fusion, subject to his compliance with the following conditions:

Updating the CRD

1. Following entry of the attached Order, the Department will file a Form U6 reflecting the Parties’ amendment of the 2017 Conditional Registration under this Amended Stipulation and Order. In addition, the Department will update the CRD to reflect Applicant’s registration as an investment adviser representative as “APPROVED-RES [RESTRICTED].” This Amended Stipulation and Order is a public record required to be published and made available to the public, consistent with section 11 of the Michigan Freedom of Information Act, MCL 15.241. The Department currently publishes copies of orders issued under the Act to the Department’s website.

Compliance Review and Reporting / Conditional Registration Term

2. As described further in paragraphs B.13 and B.14, Applicant agrees to prepare and submit quarterly compliance reports to his supervisor at Fusion in the form attached as Exhibit 2, which Fusion will then review, certify, and maintain together with all additional information required by this Stipulation and Order. “Quarter” or “quarterly,” for purposes of this paragraph and as used throughout this Stipulation and Order, means the periods from January 1 to March 31; April 1 to June 30; July 1 to September 30; and October 1 to December 31.
3. Applicant’s investment adviser representative registration will remain conditional and subject to this Stipulation and Order, and Fusion agrees to supervise Applicant under this Stipulation and Order, for a minimum period of one (1) year following the date the attached Order is entered (the “Conditional Registration Term”). After the expiration of this one-year period, Fusion may submit a written request to the Department, at the address indicated in Paragraph B.5, that the conditions be lifted from Applicant’s registration and providing a reasonable basis for the request. Fusion’s written request to lift Applicant’s conditional registration must include: (a) originals of all quarterly compliance reports required under this Section B; and (b) any additional information specifically required by this Stipulation and Order. Applicant’s registration will remain conditional, and the Conditional Registration Term continues, until the Administrator issues an order lifting the conditions imposed by this Stipulation and Order after consideration of Fusion’s written request contemplated by this paragraph.
4. Fusion’s written request under Paragraph B.3 to lift Applicant’s conditional registration must provide a copy of Fusion’s written supervisory procedures and any agreements entered between Applicant and Fusion.

5. Any changes to Paragraphs A.5 or A.6 of this Stipulation and Order must be reported in writing to the Department within fifteen (15) days to the following address:

Corporations, Securities & Commercial Licensing Bureau
Securities & Audit Division – Final Order Monitoring
P.O. Box 30018
Lansing, MI 48909

6. Applicant must separately report to the Department any: (a) customer complaints (written or verbal); (b) disciplinary actions; and (c) other changes to Applicant's answers to the Disclosure Questions on the Form U4 (a "Reportable Event") that arise during the Conditional Registration Term, regardless of whether Applicant is required to report this information on the Form U4, within twenty-one (21) days after receipt of the information. Reporting this information on the CRD/IARD system alone will not satisfy this requirement. Applicant must also supply the Department a copy of his revised Form(s) U4 upon its filing through the CRD/IARD. These items must be reported to the Department in writing directly at the address indicated in Paragraph B.5 and must include the following information regarding each customer complaint or Reportable Event:
- a. Client name, address, telephone number and e-mail address, if any.
 - b. A copy of any written complaint.
 - c. A written summary of any verbal complaint or other Reportable Event.
 - d. Current status of the complaint or other Reportable Event, including the resolution, if any.
7. Applicant and Fusion acknowledge and agree that a new customer complaint or other Reportable Event arising during the Conditional Registration Term may result in, among other actions, an extension of the Conditional Registration Term.
8. Applicant agrees that he will not exercise discretionary authority (or limited power of attorney) to directly select specific securities in accounts of any Michigan customers during the Conditional Registration Term. However, Applicant may exercise discretion to select model portfolios that are managed by Fusion or third-party model portfolios that are approved by Fusion. Fusion through its service providers will conduct the trading necessary to implement such model portfolios.
9. Fusion will review and approve all new accounts, financial plans, and/or advisory agreements initiated by Applicant for Michigan customers before the execution of any related documents or the payment of any related fees.
10. All correspondence between Applicant and Michigan customers or potential customers, including without limitation electronic communications, U.S. mail, and facsimiles, both incoming and outgoing, will be reviewed by Applicant's supervisor at Fusion or Fusion's compliance department on no less than a monthly basis. Fusion will maintain written evidence of review (e.g., Supervisor or Compliance Officer's initials written on all

correspondence). This review may be performed through an automated message review program.

11. All advertising, sales literature, and other solicitation material to be given or sent by Applicant to any Michigan customer or potential customer will be reviewed and approved by Applicant's supervisor at Fusion or Fusion's compliance department before those materials are used.
12. In conjunction with reviewing and certifying Applicant's quarterly compliance reports during the Conditional Registration Term, Fusion will also conduct a monthly review with Applicant regarding Applicant's activities and the status of any current disciplinary actions. Fusion's monthly review with Applicant will further assess Applicant's Michigan customer accounts for compliance with this Stipulation and Order and the Act. The monthly review requirement under this paragraph begins immediately on the date that the attached Order is entered and the reviews must be completed within fourteen (14) calendar days after the final day of each month.
13. Within fourteen (14) calendar days after the final day of each quarter, Applicant agrees to prepare and submit to his supervisor at Fusion a quarterly compliance report in the form attached as Exhibit 2. Within fourteen (14) calendar days after receiving Applicant's quarterly compliance report, Fusion agrees to review the report and complete the cover page, on Fusion's letterhead, certifying whether Applicant complied with this Stipulation and Order and the Act during the applicable quarterly reporting period. "Custody" as used in the report refers to the custody as defined in SEC Rule 206(4)-2 under the Investment Advisers Act of 1940. The reporting period for the first quarterly compliance report begins immediately on the date that the attached Order is entered and ends on the final day of that quarter. The reporting period for subsequent quarterly compliance reports begins on the first day and ends on the final day of the next applicable quarter.
14. Fusion is not required to submit Applicant's quarterly compliance reports to the Department on a periodic basis. However, Fusion must maintain all quarterly compliance reports and provide them to the Department: (a) to support a request to lift Applicant's conditional registration as provided in Paragraph B.3 of this Stipulation and Order; (b) upon request by the Department within ten (10) calendar days, in connection with any submission of information as required under Paragraph B.6 of this Stipulation and Order; and (c) upon request by the Department within ten (10) calendar days for any other reason.
15. If any monthly review or quarterly compliance report reveals that Applicant is not in compliance with this Stipulation and Order or the Act, then Fusion must immediately report the non-compliance to the Department in writing at the address indicated in Paragraph B.5.

Additional Provisions

16. Applicant and Fusion will fully cooperate with the Department in any investigation, audit, or examination relating to Applicant's activities.

17. Applicant and Fusion acknowledge and agree that upon their failure to comply with any deadlines imposed by this Stipulation and Order within the time frames specified, the Department will send a notice letter providing ten (10) days after the date of mailing to correct any identified, outstanding deficiency. If any identified, outstanding deficiency is not corrected within this ten-day period, and for as long as the deficiency continues in breach of the express contractual requirements of this Stipulation and Order, the Administrator is entitled to and may immediately: (a) suspend all registrations held by Applicant under the Act; (b) deny any renewal registrations submitted by him; and (c) deny any future applications for registration submitted by him. A summary suspension under this paragraph is effective upon written notice to Applicant given by the Administrator or her designee with no opportunity for hearing. Applicant and Fusion further acknowledge and agree that the Administrator may pursue any other available contractual, administrative, or judicial remedies to enforce this Stipulation and Order. Applicant may voluntarily surrender or withdraw a registration under the Act; however, such surrender or withdrawal will not negate the previously mentioned actions against the relevant registration or additional disciplinary proceedings if a violation of this Stipulation and Order or the Act occurred.
18. Applicant further acknowledges and agrees that: (a) the Administrator has jurisdiction and authority to enter the attached Order; (b) the attached Order may be entered without any further notice to him; and (c) upon entry of the attached Order, it is final and binding, and Applicant waives any right to a hearing and/or appeal of the attached Order and the 2017 Notice of Intent to Deny that exists under the Act, the rules promulgated under the Act or the predecessor Act, the Administrative Procedures Act of 1969, 1969 PA 306, MCL 24.201 *et seq.*, or other applicable law.
19. The Parties acknowledge and agree that this Stipulation and Order contains the entire understanding of the Parties and supersedes and forever terminates all prior and contemporaneous representations, promises, agreements, understandings, and negotiations, whether oral or written, with respect to its subject matter. The Parties further agree that this Stipulation and Order may only be amended, modified, or supplemented by a duly executed writing signed by each party and approved by Order of the Administrator.
20. The Parties acknowledge and represent that: (a) each party has read this Stipulation and Order in its entirety and fully understands all of its terms, conditions, ramifications, and consequences; (b) each party unconditionally consents to the terms of this Stipulation and Order; (c) each party has consulted with or had ample opportunity to consult with legal counsel of his, her, or its choosing prior to executing this Stipulation; (d) each party has freely and voluntarily signed this Stipulation; and (e) the consideration received by each party as described in this Stipulation and Order is adequate.
21. The Parties agree that they may execute this Stipulation in any number of counterparts, each of which shall be deemed an original hereof, but which together shall constitute one and the same instrument and agreement, and that facsimile or electronically-transmitted

signatures may be attached to this Stipulation and shall be binding on such party as an original signature.

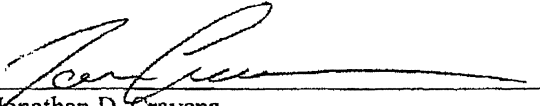
22. The signatories to this Stipulation below represent and warrant that they have the legal capacity and authority to enter into this Stipulation on behalf of the named Parties and to bind the named Parties to the terms and conditions contained herein.

[This space left intentionally blank; Signature Page and Order follow]

Through their signatures, Applicant and Fusion agree to the above terms and conditions.

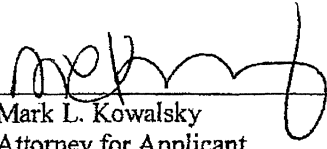
Signed: 
Jordan Dean Main

Dated: 6-14-18

Signed: 
Jonathan D. Cravens
CRD No. 4274980
Chief Compliance Officer
Coppell Advisory Solutions, LLC, d/b/a Fusion Capital Management, CRD No. 156549

Dated: 6/14/18

Acknowledged and Reviewed by:

Signed: 
Mark L. Kowalsky
Attorney for Applicant

Dated: 6/14/18

Approved by:

Signed: _____
Timothy L. Teague
Securities & Audit Division Director
Corporations, Securities & Commercial
Licensing Bureau

Dated: _____

Through their signatures, Applicant and Fusion agree to the above terms and conditions.

Signed: _____
Jordan Dean Main

Dated: _____

Signed: _____
Jonathan D. Cravens
CRD No. 4274980
Chief Compliance Officer
Coppell Advisory Solutions, LLC, d/b/a Fusion Capital Management, CRD No. 156549

Dated: _____

Acknowledged and Reviewed by:

Signed: _____
Mark L. Kowalsky
Attorney for Applicant

Dated: _____

Approved by:


Signed: Timothy L. Teague
Timothy L. Teague
Securities & Audit Division Director
Corporations, Securities & Commercial
Licensing Bureau

Dated: 6.14.18

C. ORDER

NOW, THEREFORE, the Administrator ORDERS:

IN ACCORDANCE WITH THE FOREGOING FULLY EXECUTED STIPULATION,
APPLICANT JORDAN DEAN MAIN'S APPLICATION FOR REGISTRATION AS AN
INVESTMENT ADVISER REPRESENTATIVE IS CONDITIONALLY APPROVED.



Julia Dale
Administrator and Director
Corporations, Securities & Commercial Licensing Bureau

**STATE OF MICHIGAN
DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
CORPORATIONS, SECURITIES & COMMERCIAL LICENSING BUREAU**

In the matter of:

Agency No. 333601

JORDAN DEAN MAIN
CRD No. 4520794

Applicant.

Issued and entered
This 20~~th~~ day of December, 2017

**STIPULATION AND ORDER APPROVING
INVESTMENT ADVISER REPRESENTATIVE CONDITIONAL REGISTRATION**

A. RELEVANT INFORMATION AND STATUTORY PROVISIONS, under the Michigan Uniform Securities Act (2002) (the “Act”), 2008 PA 551, MCL 451.2101 *et seq.*:

1. Jordan Dean Main (“Applicant”) was registered under the Act as a securities agent in Michigan from in or around May 2002 until in or around September 2006, when Applicant’s registration was terminated by his then-employing broker-dealer, Sigma Financial Corporation (“Sigma Financial”), CRD No. 14303. Applicant also agreed to an Acceptance, Waiver, and Consent (“AWC”) with the Financial Industry Regulatory Authority (“FINRA”), dated September 10, 2008, based on the conduct involved with his Sigma Financial termination.
2. Applicant is assigned CRD No. 4520794.
3. In or around September 2012, Applicant filed an application with the Department of Licensing and Regulatory Affairs, Corporations, Securities & Commercial Licensing Bureau (the “Department”) to register as an investment adviser representative in Michigan employed by or associated with investment adviser firm OneAmerica Securities, Inc., CRD No. 4173. Based on Applicant’s 2008 FINRA AWC and other disciplinary history set forth therein, the Director of the Department, as Administrator of the Act (“Administrator”), denied that application by issuing and entering a Corrected Order of Denial of Application for Registration on May 8, 2013 (the “2013 Denial Order”).
4. On June 9, 2017, Applicant filed a new application with the Department for registration as an investment adviser representative in Michigan (the “2017 Application”). The 2017 Application became complete on or around August 4, 2017.
5. Applicant is currently employed by or associated with AE Wealth Management, LLC (“AE Wealth”), CRD No. 282580, a Kansas-based, Securities and Exchange Commission-registered investment adviser firm that is notice-filed in Michigan pursuant to the Act. Applicant would begin working with AE Wealth as a registered investment adviser representative of the firm upon approval of his registration on a conditional basis.

6. The Department reviewed the information contained in Applicant's 2017 Application and CRD/IARD disclosures. Based on the 2013 Denial Order and Applicant's other disciplinary history set forth therein, the Administrator issued and entered a Notice of Intent to Deny, Condition, or Limit Investment Adviser Representative Registration Application on August 30, 2017 (the "2017 Notice of Intent to Deny"). Collectively, the 2013 Denial Order and 2017 Notice of Intent to Deny are referred to as the "Denial Order & Notice." Applicant, through counsel, timely requested an administrative hearing on the 2017 Notice of Intent to Deny (the "Hearing Request"), which Applicant and the Department agreed to hold in abeyance while discussing resolution through this Stipulation and Order.
7. Applicant will be working at the following address:

Address: 8273 Grand River Ave., Suite 130
Brighton, Michigan 48114
Telephone: 248-347-6246
E-mail: jordanmain@mainfinancialgroup.com
8. Applicant will be supervised by the following Supervisor or Compliance Officer at AE Wealth who works at the address indicated:

Name: Caleb D. Crook, CRD No. 6615592
Title: Chief Compliance Officer
AE Wealth Management LLC, CRD No. 282580
Address: 2950 SW McClure Rd., Suite B
Topeka, Kansas 66614
Telephone: 866-363-9595
E-mail: caleb.crook@ae-wm.com
9. Applicant and AE Wealth acknowledge Applicant's disciplinary history, as set forth in the Denial Order & Notice and Applicant's CRD/IARD disclosures.
10. Applicant, AE Wealth, and the Department (collectively, the "Parties") acknowledge and agree that Applicant's disciplinary history provides grounds for the Administrator to deny Applicant's 2017 Application for registration as an investment adviser representative, as provided in the 2017 Notice of Intent to Deny and pursuant to Section 412 of the Act, MCL 451.2412.
11. Notwithstanding that a basis exists for denying Applicant's 2017 Application, the Department and Administrator have determined that: (a) protection of the investing public does not require denial if Applicant and AE Wealth agree to registration subject to the terms and conditions specified in this Stipulation and Order; and (b) the conditional registration of Applicant pursuant to this Stipulation and Order is authorized by law and otherwise reasonable, appropriate, and in the public interest.

B. STIPULATION

Therefore, the Parties agree to this Stipulation enabling the Administrator to conditionally register Applicant as an investment adviser representative, subject to his compliance with the following conditions:

Revocation of Hearing Request / Updating the CRD

1. Applicant agrees that, effective upon entry of the attached Order, the Hearing Request is automatically revoked without further action by the Parties.
2. Following entry of the attached Order, the Department will file a Form U6 reflecting the Parties' resolution of the 2017 Notice of Intent to Deny under this Stipulation and Order. In addition, the Department will update the CRD to reflect Applicant's registration as an investment adviser representative as "APPROVED-RES [RESTRICTED]." This Stipulation and Order is a public record required to be published and made available to the public, consistent with section 11 of the Michigan Freedom of Information Act, MCL 15.241. The Department currently publishes copies of orders issued under the Act to the Department's website.

Compliance Review and Reporting / Conditional Registration Term

3. As described further in paragraphs B.14 and B.15, Applicant agrees to prepare and submit quarterly compliance reports to his supervisor at AE Wealth in the form attached as Exhibit A, which AE Wealth will then review, certify, and maintain together with all additional information required by this Stipulation and Order. "Quarter" or "quarterly," for purposes of this paragraph and as used throughout this Stipulation and Order, means the periods from January 1 to March 31; April 1 to June 30; July 1 to September 30; and October 1 to December 31.
4. Applicant's investment adviser representative registration will remain conditional and subject to this Stipulation and Order, and AE Wealth agrees to supervise Applicant under this Stipulation and Order, for a minimum period of one (1) year following the date the attached Order is entered (the "Conditional Registration Term"). After the expiration of this one-year period, AE Wealth may submit a written request to the Department, at the address indicated in Paragraph B.6, that the conditions be lifted from Applicant's registration and providing a reasonable basis for the request. AE Wealth's written request to lift Applicant's conditional registration must include: (a) originals of all quarterly compliance reports required under this Section B; and (b) any additional information specifically required by this Stipulation and Order. Applicant's registration will remain conditional, and the Conditional Registration Term continues, until the Administrator issues an order lifting the conditions imposed by this Stipulation and Order after consideration of AE Wealth's written request contemplated by this paragraph.

5. AE Wealth's written request under Paragraph B.4 to lift Applicant's conditional registration must provide a copy of AE Wealth's written supervisory procedures and any agreements entered between Applicant and AE Wealth.
6. Any changes to Paragraphs A.7 or A.8 of this Stipulation and Order must be reported in writing to the Department within fifteen (15) days to the following address:

Corporations, Securities & Commercial Licensing Bureau
Securities & Audit Division – Final Order Monitoring
P.O. Box 30018
Lansing, MI 48909

7. Applicant must separately report to the Department any: (a) customer complaints (written or verbal); (b) disciplinary actions; and (c) other changes to Applicant's answers to the Disclosure Questions on the Form U4 (a "Reportable Event") that arise during the Conditional Registration Term, regardless of whether Applicant is required to report this information on the Form U4, within twenty-one (21) days after receipt of the information. Reporting this information on the CRD/IARD system alone will not satisfy this requirement. Applicant must also supply the Department a copy of his revised Form(s) U4 upon its filing through the CRD/IARD. These items must be reported to the Department in writing directly at the address indicated in Paragraph B.6 and must include the following information regarding each customer complaint or Reportable Event:
 - a. Client name, address, telephone number and e-mail address, if any.
 - b. A copy of any written complaint.
 - c. A written summary of any verbal complaint or other Reportable Event.
 - d. Current status of the complaint or other Reportable Event, including the resolution, if any.
8. Applicant and AE Wealth acknowledge and agree that a new customer complaint or other Reportable Event arising during the Conditional Registration Term may result in, among other actions, an extension of the Conditional Registration Term.
9. Applicant agrees that he will not exercise discretionary authority (or limited power of attorney) to directly select specific securities in accounts of any Michigan customers during the Conditional Registration Term. However, Applicant may exercise discretion to select model portfolios that are managed by AE Wealth or third-party model portfolios that are approved by AE Wealth. AE Wealth through its service providers will conduct the trading necessary to implement such model portfolios.
10. AE Wealth will review and approve all new accounts, financial plans, and/or advisory agreements initiated by Applicant for Michigan customers before the execution of any related documents or the payment of any related fees.

11. All correspondence between Applicant and Michigan customers or potential customers, including without limitation electronic communications, U.S. mail, and facsimiles, both incoming and outgoing, will be reviewed by Applicant's supervisor at AE Wealth or AE Wealth's compliance department on no less than a monthly basis. AE Wealth will maintain written evidence of review (e.g., Supervisor or Compliance Officer's initials written on all correspondence). This review may be performed through an automated message review program.
12. All advertising, sales literature, and other solicitation material to be given or sent by Applicant to any Michigan customer or potential customer will be reviewed and approved by Applicant's supervisor at AE Wealth or AE Wealth's compliance department before those materials are used.
13. In conjunction with reviewing and certifying Applicant's quarterly compliance reports during the Conditional Registration Term, AE Wealth will also conduct a monthly review with Applicant regarding Applicant's activities and the status of any current disciplinary actions. AE Wealth's monthly review with Applicant will further assess Applicant's Michigan customer accounts for compliance with this Stipulation and Order and the Act. The monthly review requirement under this paragraph begins immediately on the date that the attached Order is entered and the reviews must be completed within fourteen (14) calendar days after the final day of each month.
14. Within fourteen (14) calendar days after the final day of each quarter, Applicant agrees to prepare and submit to his supervisor at AE Wealth a quarterly compliance report in the form attached as Exhibit A. Within fourteen (14) calendar days after receiving Applicant's quarterly compliance report, AE Wealth agrees to review the report and complete the cover page, on AE Wealth's letterhead, certifying whether Applicant complied with this Stipulation and Order and the Act during the applicable quarterly reporting period. "Custody" as used in the report refers to the custody as defined in SEC Rule 206(4)-2 under the Investment Advisers Act of 1940. The reporting period for the first quarterly compliance report begins immediately on the date that the attached Order is entered and ends on the final day of that quarter. The reporting period for subsequent quarterly compliance reports begins on the first day and ends on the final day of the next applicable quarter.
15. AE Wealth is not required to submit Applicant's quarterly compliance reports to the Department on a periodic basis. However, AE Wealth must maintain all quarterly compliance reports and provide them to the Department: (a) to support a request to lift Applicant's conditional registration as provided in Paragraph B.4 of this Stipulation and Order; (b) upon request by the Department within ten (10) calendar days, in connection with any submission of information as required under Paragraph B.7 of this Stipulation and Order; and (c) upon request by the Department within ten (10) calendar days for any other reason.

16. If any monthly review or quarterly compliance report reveals that Applicant is not in compliance with this Stipulation and Order or the Act, then AE Wealth must immediately report the non-compliance to the Department in writing at the address indicated in Paragraph B.6.

Additional Provisions

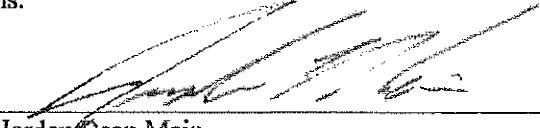
17. Applicant and AE Wealth will fully cooperate with the Department in any investigation, audit, or examination relating to Applicant's activities.
18. Applicant and AE Wealth acknowledge and agree that upon their failure to comply with any deadlines imposed by this Stipulation and Order within the time frames specified, the Department will send a notice letter providing ten (10) days after the date of mailing to correct any identified, outstanding deficiency. If any identified, outstanding deficiency is not corrected within this ten-day period, and for as long as the deficiency continues in breach of the express contractual requirements of this Stipulation and Order, the Administrator is entitled to and may immediately: (a) suspend all registrations held by Applicant under the Act; (b) deny any renewal registrations submitted by him; and (c) deny any future applications for registration submitted by him. A summary suspension under this paragraph is effective upon written notice to Applicant given by the Administrator or her designee with no opportunity for hearing. Applicant and AE Wealth further acknowledge and agree that the Administrator may pursue any other available contractual, administrative, or judicial remedies to enforce this Stipulation and Order. Applicant may voluntarily surrender or withdraw a registration under the Act; however, such surrender or withdrawal will not negate the previously mentioned actions against the relevant registration or additional disciplinary proceedings if a violation of this Stipulation and Order or the Act occurred.
19. Applicant further acknowledges and agrees that: (a) the Administrator has jurisdiction and authority to enter the attached Order; (b) the attached Order may be entered without any further notice to him; and (c) upon entry of the attached Order, it is final and binding, and Applicant waives any right to a hearing and/or appeal of the attached Order and the 2017 Notice of Intent to Deny that exists under the Act, the rules promulgated under the Act or the predecessor Act, the Administrative Procedures Act of 1969, 1969 PA 306, MCL 24.201 *et seq.*, or other applicable law.
20. The Parties acknowledge and agree that this Stipulation and Order contains the entire understanding of the Parties and supersedes and forever terminates all prior and contemporaneous representations, promises, agreements, understandings, and negotiations, whether oral or written, with respect to its subject matter. The Parties further agree that this Stipulation and Order may only be amended, modified, or supplemented by a duly executed writing signed by each party and approved by Order of the Administrator.
21. The Parties acknowledge and represent that: (a) each party has read this Stipulation and Order in its entirety and fully understands all of its terms, conditions, ramifications, and

consequences; (b) each party unconditionally consents to the terms of this Stipulation and Order; (c) each party has consulted with or had ample opportunity to consult with legal counsel of his, her, or its choosing prior to executing this Stipulation; (d) each party has freely and voluntarily signed this Stipulation; and (e) the consideration received by each party as described in this Stipulation and Order is adequate.


22. The Parties agree that they may execute this Stipulation in any number of counterparts, each of which shall be deemed an original hereof, but which together shall constitute one and the same instrument and agreement, and that facsimile or electronically-transmitted signatures may be attached to this Stipulation and shall be binding on such party as an original signature.
23. The signatories to this Stipulation below represent and warrant that they have the legal capacity and authority to enter into this Stipulation on behalf of the named Parties and to bind the named Parties to the terms and conditions contained herein.

[This space left intentionally blank; Signature Page and Order follow]

Through their signatures, Applicant and AE Wealth agree to the above terms and conditions.

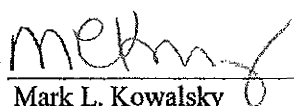
Signed: 
Jordan Dean Main

Dated: 12-5-17

Signed: 
Caleb D. Crook
CRD No. 6615592
Chief Compliance Officer
AE Wealth Management LLC, CRD No. 282580

Dated: 12-13-17

Acknowledged and Reviewed by:

Signed: 
Mark L. Kowalsky
Attorney for Applicant

Dated: 12/13/17

Approved by:

Signed: _____
Timothy L. Teague
Securities & Audit Division Director
Corporations, Securities & Commercial
Licensing Bureau

Dated: _____

Through their signatures, Applicant and AE Wealth agree to the above terms and conditions.

Signed: _____
Jordan Dean Main

Dated: _____

Signed: _____
Caleb D. Crook
CRD No. 6615592
Chief Compliance Officer
AE Wealth Management LLC, CRD No. 282580

Dated: _____

Acknowledged and Reviewed by:

Signed: _____
Mark L. Kowalsky
Attorney for Applicant

Dated: _____

Approved by:

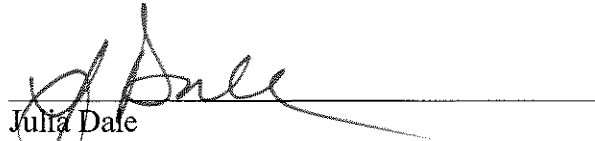
Signed: Timothy L. Teague
Timothy L. Teague
Securities & Audit Division Director
Corporations, Securities & Commercial
Licensing Bureau

Dated: 12.15.17

C. ORDER

NOW, THEREFORE, the Administrator ORDERS:

IN ACCORDANCE WITH THE FOREGOING FULLY EXECUTED STIPULATION,
APPLICANT JORDAN DEAN MAIN'S APPLICATION FOR REGISTRATION AS AN
INVESTMENT ADVISER REPRESENTATIVE IS CONDITIONALLY APPROVED.

A handwritten signature in dark ink, appearing to read "Julia Dale", is written over a horizontal line.

Julia Dale
Administrator and Director
Corporations, Securities & Commercial Licensing Bureau

**STATE OF MICHIGAN
DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
CORPORATIONS, SECURITIES & COMMERCIAL LICENSING BUREAU**

In the matter of:

Agency No. 333601

JORDAN DEAN MAIN
CRD# 4520794

Applicant.

This 30th day of August, 2017

**NOTICE OF INTENT TO DENY, CONDITION, OR LIMIT
INVESTMENT ADVISER REPRESENTATIVE REGISTRATION APPLICATION**

I. RELEVANT FACTS AND APPLICABLE LAW.

Relevant information and statutory provisions, under the Michigan Uniform Securities Act (2002) ("the Securities Act"), 2008 PA 551, as amended, MCL 451.2101 *et seq.*:

1. Jordan Dean Main ("Applicant") was registered as a securities agent pursuant to the Securities Act in Michigan from in or around May of 2002 until in or around September of 2006. (Exhibit 1 – Jordan Main Registrations Summary). Applicant's securities agent registration was terminated by his then-employing broker-dealer, Sigma Financial Corporation (CRD#14303), for "unauthorized and improper use of customer funds against firm policy." (Exhibit 1). Applicant also agreed to an Acceptance, Waiver, and Consent ("AWC") with the Financial Industry Regulatory Authority ("FINRA") as a result of the facts and circumstances that led to his termination by Sigma Financial Corporation. (Exhibit 2 – FINRA AWC).
2. Applicant applied for registration as an investment adviser representative through Capital Asset Advisory Services, LLC (CRD#110929) pursuant to the Securities Act in Michigan in or around September of 2010; the registration application was terminated by the firm before it was approved or denied. Applicant again applied for registration as an investment adviser representative in Michigan through OneAmerica Securities, Inc. (CRD#4173) in or around September of 2012; the application was denied, with an effective date of May 8, 2013. (Exhibit 3 – 2013 Michigan Order Denying IAR Registration).
3. On or around June 9, 2017, Applicant applied for registration as an investment adviser representative in Michigan through AE Wealth Management, LLC (CRD#282580), a federal covered investment adviser firm that is properly notice-filed pursuant to the

Securities Act in Michigan; the application became complete on or around August 4, 2017.

4. Applicant is the subject of an order denying his registration as an investment adviser representative, issued after notice and opportunity for hearing, by the former Director of the Corporations, Securities, and Commercial Licensing Bureau (“the Bureau”) within the State of Michigan Department of Licensing and Regulatory Affairs. (Exhibit 3).
5. The Director of the Bureau (“Administrator”) has reviewed materials relating to the June 9, 2017 application referred to in paragraph three, above. Based on Applicant’s past conduct discussed above and hereafter, the Administrator determined that the denial, conditioning, or limitation of Applicant’s investment adviser representative application is authorized, appropriate, and in the public interest.
6. Section 412(1) of the Securities Act, MCL 451.2412(1), provides that if the Administrator finds that the Order is in the public interest and MCL 451.2412(4) authorizes the action, the Administrator may issue an Order denying, conditioning, or limiting an application for registration as an investment adviser representative.
7. Section 412(4)(e)(i) of the Securities Act, MCL 451.2412(4)(e)(i) authorizes an order under section 412(1) of the Securities Act, MCL 451.2412(1), if an applicant for registration under the Securities Act is the subject of an order by the securities or other financial services regulator of a state, issued after notice and opportunity for hearing, denying registration as a broker-dealer, agent, investment adviser, or investment adviser representative.
8. Section 412(6) of the Securities Act, MCL 451.2412(6), authorizes the Administrator to deny a registration application pending final determination of an administrative proceeding.
9. The Administrator may deny, condition, or limit the Applicant’s investment adviser representative registration application under sections 412(1) and 412(4)(e)(i) of the Securities Act, MCL 451.2412(1) and MCL 451.2412(4)(e)(i), because Applicant is the subject of an order, issued after notice and opportunity for hearing, by the securities or financial services regulator of a state denying his registration as an investment adviser representative.

II. ORDER.

The Administrator finds that this ORDER is authorized, appropriate, and in the public interest based on the above-cited facts and law.

IT IS ORDERED as follows:

1. The Administrator intends to deny, condition or limit the investment adviser representative registration application of Jordan Dean Main, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant is the subject of an order, issued after notice and opportunity for hearing, denying his registration as an investment adviser representative, which supports the denial of his registration application under the above-cited provisions of the Michigan Uniform Securities Act (2002), 2008 PA 551, MCL 451.2101 *et seq.*
2. In accordance with sections 412(1) and (6) of the Securities Act, MCL 451.2412(1) and (6): This is NOTICE that the Administrator intends to deny Applicant's investment adviser representative registration application, and that Applicant has thirty (30) calendar days after the date that this Order is served on Applicant to submit a written request to the Administrator that this matter be scheduled for a hearing. If the Administrator timely receives a written request, the Administrator shall schedule a hearing within 15 days after receipt of the written request. If a hearing is not requested by Applicant or is not ordered by the Administrator within 30 days after the date of service of this Order, Applicant's application for investment adviser representative registration will be DENIED. If a hearing is requested or ordered, the Administrator, after notice of and an opportunity for hearing to Applicant, may modify or vacate this Order or extend the Order until final determination.
3. Applicant is responsible for notifying his relevant supervisor and/or the Chief Compliance Officer of his employing firm of the issuance of this Order according to firm policies or procedures. A copy of this Order will not be mailed to Applicant's supervisor or the firm's Chief Compliance Officer. Agency representatives will only discuss this Order with a representative of Applicant's employing firm when Applicant or an attorney on Applicant's behalf is also present, because the firm is not a party to this administrative proceeding.

If Applicant requests a hearing, the request must be in writing and filed with the Department of Licensing and Regulatory Affairs, Corporations, Securities & Commercial Licensing Bureau, Regulatory Compliance Division, P.O. Box 30018, Lansing, MI 48909.

DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
CORPORATIONS, SECURITIES, AND COMMERCIAL LICENSING BUREAU

By: 
Julia Dale, Administrator and Director
Corporations, Securities & Commercial Licensing Bureau