

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

In the matter of:

Agency No. 331873

RONALD W. WEIMER
CRD No. 4199148

Applicant.

Issued and entered
This 5th day of May, 2017

STIPULATION AND ORDER APPROVING CONDITIONAL REGISTRATIONS

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

1. Ronald W. Weimer ("Applicant") has been registered as a securities agent in Michigan through various broker-dealers since in or around 2000 and as an investment adviser representative since 2010.
2. Applicant is assigned CRD No. 4199148.
3. Applicant's securities agent registration and investment adviser representative registration through J.J.B. Hilliard, W.L. Lyons, LLC ("Hilliard Lyons"), was terminated on November 21, 2016 for borrowing money from a client without the firm's consent.
4. On or around January 4, 2017, Applicant applied for registration as a securities agent and as an investment adviser representative in Michigan through Cantella & Co., Inc. (CRD#13905) ("Cantella"), a firm which is registered as a broker-dealer in Michigan, and is a federal covered investment adviser properly notice-filed in Michigan. The application became complete on or around February 13, 2017.
5. On January 5, 2017, with the approval of the Financial Industry Regulatory Authority, Applicant became associated with Cantella.
6. On February 24, 2017 the Director of the Corporations, Securities & Commercial Licensing Bureau, as the Administrator of the Act ("Administrator"), issued and entered a Notice of Intent to Deny Securities Agent and Investment Adviser Representative Registration Applications as a result of Applicant's termination from Hilliard Lyons. In response to the Notice, On March 21, 2017, the Department of Licensing and Regulatory Affairs, Corporations, Securities & Commercial Licensing Bureau ("Department") received Applicant's timely request for an administrative hearing (the "Hearing Request").

7. Cantella acknowledges the disciplinary history of Applicant, as set forth in more detail in the Notice of Intent to Deny Securities Agent and Investment Adviser Representative Registration Applications, issued and entered on February 24, 2017.
8. Applicant will be working at the following address:

Cantella & Co., Inc.
2420 Fountain Lane
Stevensville, Michigan 49127
(269) 408-8812
9. Applicant will be supervised by the following individual or Compliance Officer who works at the physical address listed below:

Michael Frasier, CRD No. 3013598
Compliance Officer, Cantella & Co., Inc., CRD No. 13905
28 State Street
40th Floor
Boston, Massachusetts 02109
(617) 224-1413
mfrasier@cantella.com
10. The Department reviewed the information contained in Applicant's CRD/IARD disclosures and conducted an investigation. The Applicant, Cantella, and Department (collectively, the "Parties") agree that a basis may exist, pursuant to Section 412 of the Act, MCL 451.2412, for the Department's Administrator to deny Applicant's securities agent and investment adviser representative registrations.
11. The Administrator and Applicant determined, notwithstanding the possible basis for denial, that protection of the investing public does not require denial of Applicant's application for securities agent and investment adviser representative registrations if Applicant and Cantella agree to registration subject to the terms and conditions specified in this Stipulation and Order.

B. STIPULATION

In consideration of the foregoing facts and the following mutually agreed upon promises and covenants and other good and valuable consideration, the adequacy and sufficiency of which the Parties hereby expressly acknowledge, the Parties agree to this Stipulation enabling the Administrator to conditionally register Applicant as a securities agent and investment adviser representative, subject to Applicant's and Cantella's compliance with the following conditions and additional terms agreed to by the Parties below:

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 U-6 reflecting the Parties' resolution of the Notice of Intent to Deny Securities Agent and Investment Adviser Representative Registration Applications pursuant to this Stipulation and Order. In addition, the Department will update the CRD to reflect Applicant's registration as a securities agent and an investment adviser representative as "APPROVED-RES [RESTRICTED]."

Compliance Review and Reporting and Term of Conditional Registrations

3. Cantella agrees to supervise Applicant for a minimum period of one (1) year following the date Applicant becomes conditionally registered in accordance with the terms of this Stipulation and Order. After the expiration of the one year period, Cantella may submit a written request to the Department, requesting that the conditions be lifted from Applicant's registrations and providing a reasonable basis for the request. The written request to lift the conditional registrations must include copies of all quarterly reports required by paragraph B(13) of this Stipulation and Order, including any information regarding judgments or liens against Applicant, if any. Applicant's registrations will remain conditional until the Administrator issues an order lifting the conditions imposed by this Stipulation and Order after consideration of the written request contemplated by this paragraph.
4. Any changes to paragraphs A(8) or A(9) 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
5. Cantella must report to the Department any customer complaints (written or oral), or other changes to Applicant's answers to the Disclosure Questions on the Form U-4 ("reportable event") that arise within the supervisory period, regardless of whether Applicant is required to report the customer complaint on the Form U-4, within ten (10) days of receipt of the information by Cantella's home office. Reporting the information on the CRD system will not satisfy this requirement. Applicant will also supply a copy of Applicant's revised Form U-4 to the Department upon its filing through the CRD. Items must be reported to the Department in writing directly to the address indicated in Paragraph B(4) of this Stipulation and Order and 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.
 - d. Current status of the complaint, including the resolution, if any.
6. Cantella and Applicant acknowledge that a new complaint or other reportable event may extend the supervisory period.
7. Applicant agrees not to have discretionary authority (or limited power of attorney) over accounts of any Michigan residents during the supervisory period.
8. All new accounts opened and financial plans prepared for Applicant's Michigan customers must be reviewed and approved by Cantella before the execution of the initial transaction(s) in any new accounts and before payment of any financial planning fees.
9. All subsequent transactions recommended by Applicant for Michigan customer accounts must be reviewed and approved by Cantella within three business days of execution.
10. All correspondence, including, without limitation, electronic communications, U.S. mail, facsimiles, etc., both incoming and outgoing, must be reviewed by Applicant's supervisor or Cantella's compliance department in compliance with Cantella's existing written supervisory procedures.
11. All advertising, sales literature, and other solicitation material given or sent by the Applicant to any customer or potential customer must be approved by Applicant's supervisor or Cantella's compliance department before use.
12. Cantella agrees to hold a quarterly review with Applicant regarding the Applicant's activities and the status of any current disciplinary actions. "Quarterly," for purposes of this paragraph and paragraph B(12) of this Stipulation and Order, means January 1 to March 31; April 1 to June 30; July 1 to September 30; and October 1 to December 31. Quarterly reviews must be completed within fourteen (14) calendar days of the final day of each quarter.
13. After each quarterly review is completed, Cantella agrees to complete and maintain a written quarterly compliance report in the form attached as Exhibit A, on Cantella's letterhead, certifying that Applicant is or is not in compliance with this Stipulation and Order and the Act. Except as required by paragraph B(3) of this Stipulation and Order, Cantella is not required to submit the quarterly compliance reports to the Department on a periodic basis; however, Cantella must maintain all quarterly compliance reports in Applicant's personnel file and make them available to the Department immediately upon the Department's request, or in connection with any submission of information to the Department as required by Paragraph B(5) of this Stipulation and Order. If any quarterly review reveals that Applicant is not in compliance with this Stipulation and Order or the

Act, then Cantella must immediately notify the Department in writing to the address indicated in paragraph B(4).

14. Cantella agrees not to transfer the registration of Applicant to another broker-dealer, pursuant to a mass transfer, without prior approval of the Department while this Stipulation and Order is in effect.

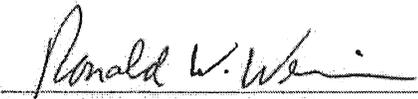
Additional Provisions

15. Applicant and Cantella agree to fully cooperate with the Department in any investigation, audit, or examination relating to Applicant's activities.
16. Applicant acknowledges and agrees that upon his failure to comply with any terms of this Stipulation and Order within the time frames specified, and until such compliance is made, the Administrator is entitled to and may automatically and summarily: (a) suspend all registrations held by Applicant under the Act; (b) deny any renewal registrations submitted by Applicant; and (c) deny any future applications for registration submitted by Applicant, which shall be effective upon notice given by the Administrator or her designee with no opportunity for hearing. Applicant further acknowledges and agrees 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 aforementioned actions against the relevant registrations or additional disciplinary proceedings if a violation of this Stipulation and Order or the Act have occurred.
17. Applicant 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 Applicant; 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 or the Notice of Intent to Deny Securities Agent and Investment Adviser Representative Registration Applications 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.
18. 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.
19. 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.

20. 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.
21. 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.

Through their signatures, Applicant and Cantella agree to comply with the above terms and conditions.

Dated: 4/27/2017 Signed: 
Ronald W. Weimer, Applicant

Dated: _____ Signed: _____
Jonathan D. Sweik, Applicant's Legal Counsel

Dated: _____ Signed: _____
Michael Frasier, Compliance Officer
Cantella & Co., Inc.

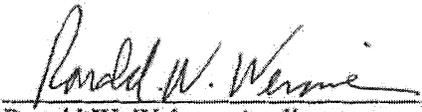
Dated: _____ Signed: _____
Timothy L. Teague
Securities & Audit Division Director
Corporations, Securities & Commercial Licensing
Bureau

19. 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.
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Through their signatures, Applicant and Cantella agree to comply with the above terms and conditions.

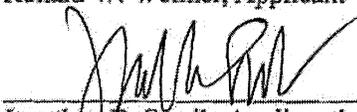
Dated: 4/27/2017

Signed: _____


Ronald W. Weimer, Applicant

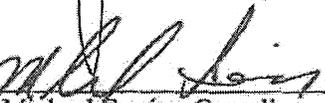
Dated: 5/1/17

Signed: _____


Jonathan D. Sweik, Applicant's Legal Counsel

Dated: 4/25/17

Signed: _____


Michael Frasier, Compliance Officer
Cantella & Co., Inc.

Dated: _____

Signed: _____

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

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.

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Through their signatures, Applicant and Cantella agree to comply with the above terms and conditions.

Dated: _____ Signed: _____
Ronald W. Weimer, Applicant

Dated: _____ Signed: _____
Jonathan D. Sweik, Applicant's Legal Counsel

Dated: _____ Signed: _____
Michael Frasier, Compliance Officer
Cantella & Co., Inc.

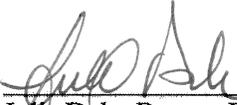
Dated: 5.2.17 Signed: Timothy L. Teague
Timothy L. Teague
Securities & Audit Division Director
Corporations, Securities & Commercial Licensing
Bureau

Ronald W. Weimer
Stipulation and Order for Securities Agent and
Investment Adviser Representative Conditional Registrations
Agency No. 331873
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C. ORDER

NOW, THEREFORE, the Administrator ORDERS:

IN ACCORDANCE WITH THE FOREGOING FULLY EXECUTED STIPULATION
APPLICANT RONALD W. WEIMER'S SECURITIES AGENT AND INVESTMENT
ADVISER REPRESENTATIVE REGISTRATION APPLICATIONS ARE CONDITIONALLY
APPROVED.



Julia Dale, Bureau Director
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. 331873

RONALD W. WEIMER
CRD# 4199148

Applicant.
_____ /

Issued and entered
This 24th day of February, 2017

**NOTICE OF INTENT TO DENY SECURITIES AGENT AND
INVESTMENT ADVISER REPRESENTATIVE REGISTRATION APPLICATIONS**

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. Ronald W. Weimer (“Applicant”) has been registered as a securities agent through multiple broker-dealers, beginning in or around 2000. Applicant’s most recent registration was through JJB Hilliard, WL Lyons, LLC (CRD# 453), which was terminated on or around November 21, 2016 as a result of Applicant borrowing money from a customer without consent from the firm. (Exhibit 1 – Form U5).
2. Applicant was also registered as an investment adviser representative through JJB Hilliard, WL Lyons, LLC (CRD# 453) beginning in or around March of 2010. Similarly, this registration was terminated on or around November 21, 2016 as a result of Applicant borrowing money from a customer without consent from the firm. (Exhibit 1 – Form U5).
3. On or around January 4, 2017, Applicant applied for registration as a securities agent and as an investment adviser representative in Michigan through Cantella & Co., Inc. (CRD#13905), a firm which is registered as a broker-dealer in Michigan, and is a federal covered investment adviser properly notice-filed in Michigan; the application became complete on or around February 13, 2017.
4. Within the last ten years, Applicant accepted a loan from a customer (Exhibit 2 – Correspondence from Applicant), which the Director (“Administrator”) of the Corporations, Securities, and Commercial Licensing Bureau (“the Bureau”) within the State of Michigan Department of Licensing and Regulatory Affairs considers to be a dishonest or unethical business practice in the investment or securities industry.

5. The Administrator has reviewed materials relating to the applications referred to in paragraph three, above. Based on Applicant's past conduct discussed above and hereafter, the Administrator determined that the denial of his securities agent and investment adviser representative applications is authorized, appropriate, and in the public interest.
6. 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.
7. 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 applications for registration as a securities agent and as an investment adviser representative.
8. The Administrator may deny the Applicant's securities agent and investment adviser representative registration applications under section 412(4)(m) of the Securities Act, MCL 451.2412(4)(m), because he "has engaged in dishonest or unethical practices in the securities, commodities, investment franchise, banking, finance, or insurance business within the previous 10 years."

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 the SECURITIES AGENT AND INVESTMENT ADVISER REPRESENTATIVE REGISTRATION APPLICATIONS OF RONALD W. WEIMER, under section 412(1) of the Securities Act, MCL 451.2412(1), because Applicant engaged in dishonest or unethical practices within the last 10 years, which supports the denial of his registration applications 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 securities agent and investment adviser representative registration applications, 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 applications for securities agent and investment adviser representative registrations will be DENIED. If a hearing is requested or ordered, the Administrator, after notice of and an

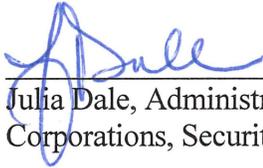
opportunity for hearing to Applicant, may modify or vacate this Order or extend the Order until final determination.

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

By:



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