

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

In the matter of:

Agency No. 331151

MARK SAWYER
CRD# 6692799

Applicant.
_____ /

This 28th day of November, 2016 Issued and entered

**NOTICE OF INTENT TO DENY
SECURITIES AGENT 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. Mark Sawyer ("Applicant") has never been registered in any capacity under the Securities Act in Michigan.
2. On or around September 29, 2016, Applicant filed an application in Michigan for registration as a securities agent working for Fidelity Brokerage Services, LLC (CRD#7784), a broker-dealer registered in Michigan, at a branch office location at One Destiny Way, Westlake, Texas 76262. The application became complete on or around October 21, 2016.
3. Applicant submitted a balance sheet in connection with the September 29, 2016 application for registration as a securities agent which showed that Applicant's liabilities exceed his assets. The Administrator finds that Applicant is insolvent because his liabilities exceed his assets.
4. The Administrator reviewed materials relating to the application referred to in paragraph two above. Based on Applicant's liabilities exceeding his assets as discussed above and hereafter, the Administrator determined that the denial of securities agent application is authorized, appropriate, and in the public interest.
5. Section 412(6) of the Act, MCL 451.2412(6), authorizes the Administrator to deny a registration application pending final determination of an administrative proceeding.

6. Section 412(1) of the 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 an application for registration as a securities agent.
7. The Administrator may deny the Applicant's registration application under section 412(4)(g), MCL 451.2412(4)(g), because, as detailed above, Applicant's liabilities exceed his assets and the Administrator has made a finding of insolvency as to Applicant.

II. ORDER.

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

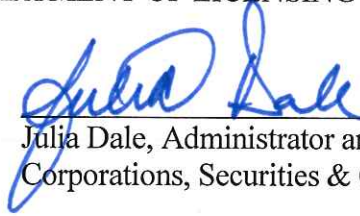
IT IS ORDERED as follows:

1. The Administrator intends to DENY the SECURITIES AGENT REGISTRATION APPLICATION OF MARK SAWYER, under section 412(1) of the Act, MCL 451.2412(1), because Applicant's liabilities exceed his assets and the Administrator has made a finding of insolvency as to Applicant, 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 section 412(1) and (6) of the Act, MCL 451.2412(1) and (6): This is NOTICE that the Administrator intends to deny Applicant's securities agent 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 securities agent 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. Requests may be sent by fax to (517) 241-0290

DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS

By:



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