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THE STATE OF SOUTH CAROLINA  
In The Court of Appeals

APPEAL FROM RICHLAND COUNTY  
Court of Common Pleas

G. Thomas Cooper, Jr. Circuit Court Judge

Case No. 2014-CP-40-3389  
Appellate Case No. 2014-001652

RECEIVED  
JUN 18 2015  
SC Court of Appeals

Alan Wilson, Securities Commissioner of South Carolina,.....Respondent,

v.

Integrated Capital Strategies, LLC,.....Appellant.

**MOTION OF NORTH AMERICAN SECURITIES ADMINISTRATORS  
ASSOCIATION, INC. SEEKING LEAVE TO FILE AMICUS CURIAE BRIEF**

The North American Securities Administrators Association, Inc. ("NASAA") hereby moves pursuant to Rules 213 and 240 of the South Carolina Appellate Court Rules to seek leave of the Court to file the attached *amicus curiae* brief addressing the issue of the investigative authority of state securities regulators in support of Respondent, Alan Wilson, Securities Commissioner of South Carolina, in the above captioned case.

1. NASAA is the non-profit association of state, provincial, and territorial securities regulators in the United States, Canada, and Mexico. NASAA has 67 members, including the securities regulators in all 50 states, the District of Columbia, Puerto Rico, and the U.S. Virgin Islands. Formed in 1919, NASAA is the oldest

international organization devoted to protecting investors from fraud and abuse in connection with the offer and sale of securities.

2. As required by Rule 213, SCACR, NASAA and its members have a substantial interest in the issues presented in this dispute as they concern the authority of a state securities regulator to investigate violations of its laws. An adverse decision in this matter stands to limit the ability of the Securities Commissioner to investigate potential violations of the South Carolina Uniform Securities Act, and any decision regarding this authority will be relevant to other states when deciding similar issues.

3. Good cause exists to authorize the filing of the attached *amicus curiae* brief as the arguments and legal authorities presented in the brief will assist the Court in making a determination on the complex issues of law related the investigative authority of state securities regulators.

4. NASAA therefore respectfully requests that the Court permit it to file the *amicus curiae* brief attached to this motion.

[SIGNATURE PAGE FOLLOWS]

Respectfully Submitted,

Christopher Staley  
Counsel

**NORTH AMERICAN SECURITIES  
ADMINISTRATORS ASSOCIATION, INC.**

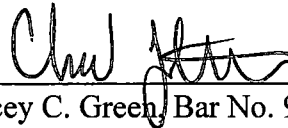
750 First Street, N.E.

Suite 1140

Washington, DC 20002

202-737-0900

*\*Pro Hac Vice Application Pending*



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Tracey C. Green, Bar No. 9342

Chad N. Johnston, Bar No. 73752

**WILLOUGHBY & HOEFER, P.A.**

930 Richland Street

PO Box 8416

Columbia, SC 29202

803-252-3300

June 18, 2015  
Columbia, South Carolina

THE STATE OF SOUTH CAROLINA  
In The Court of Appeals

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**PROOF OF SERVICE**

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This is to certify that I, a paralegal with the law firm Willoughby & Hoefler, P.A., have caused to be served this day one (1) copy of a the **Motion for Leave to File an *Amicus Curiae* Brief and *Amicus Curiae* Brief of the North American Securities Administrators Association, Inc.** by placing same in the care and custody of the United States Postal Service with first class postage affixed thereto and addressed as follows:

Tracy A. Meyers, Esquire  
Ian P. Weschler, Esquire  
South Carolina Attorney General's Office  
P.O. Box 11549  
Columbia, S.C. 29211-1549

James M. Griffin, Esquire  
Margaret N. Fox, Esquire  
1513 Hampton Street  
Columbia, S.C. 29201

  
Breanna M. Karns

Columbia, South Carolina  
This 18th day of June 2015

**WILLOUGHBY & HOEFER, P.A.**

ATTORNEYS & COUNSELORS AT LAW

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OF COUNSEL

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JUN 18 2015

SC Court of Appeals

June 18, 2015

**VIA HAND DELIVERY**

Honorable Jenny A. Kitchings  
Clerk of Court  
**South Carolina Court of Appeals**  
Post Office Box 11629  
Columbia, South Carolina 29211

Re: Alan Wilson, Securities Commissioner of South Carolina v. Integrated Capital Strategies, LLC;  
Case No. 2014-CP-40-3389  
Appellant Case No. 2014-001652

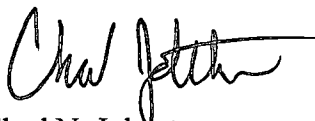
Dear Ms. Kitchings:

Pursuant to Rules 213 and 240, of the South Carolina Appellate Court Rules, please find for filing the enclosed original and seven (7) copies of the **Motion for Leave to File an *Amicus Curiae* Brief**, in the above-captioned matter. Also enclosed, as permitted by Rule 213, are sixteen (16) copies of the ***Amicus Curiae* Brief of the North American Securities Administrators Association, Inc.**, conditionally filed with the Court, subject to the Court's consideration of the within Motion. Please also find a check in the amount of \$25.00 for the motion fee. I would appreciate your acknowledging receipt of both the motion and *amicus curiae* brief by file stamping the extra copies and returning them to me via our courier.

If you have any questions or need additional information, please contact me at your convenience. With best regards, I am

Respectfully,

**WILLOUGHBY & HOEFER, P.A.**



Chad N. Johnston

Honorable Jenny A. Kitchings

June 18, 2015

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Enclosures

cc: Tracy A. Meyers, Esquire (via U.S. Mail)  
Ian P. Weschler, Esquire (via U.S. Mail)  
James M. Griffin, Esquire (via U.S. Mail)  
Margaret N. Fox, Esquire (via U.S. Mail)