

BEFORE THE DIVISION OF INSURANCE
DEPARTMENT OF LABOR AND REGULATION
STATE OF SOUTH DAKOTA

IN THE MATTER OF)	ORDER TO REVOKE
WYNSTON HILL CAPITAL, LLC, CRD # 103811)	REGISTRATION
& DENNIS V. RIORDAN, CRD # 2412563)	

The South Dakota Division of Insurance (“Division”) finds the following regarding the above-named respondents:

1. Wynston Hill Capital, LLC is registered broker-dealer firm with a last known address of 324 S. Splitrok Blvd. Suite 2, Brandon, SD 57005;
2. Prior to May 20,2021 Wynston Hill Capital, LLC’s registered address was 1109 Harding Park, Bronx, NY 10473;
3. Dennis V. Riordan, is a registered broker dealer, and is the registered representative of Wynston Hill Capital, LLC, and his last known address is 2711 E. Sunburst Dr., Brandon, SD 57055;
4. At all times, Dennis V. Riordan’s branch office has been registered at 1109 Harding Park, Bronx, NY 10473;
5. Wynston Hill Capital, LLC was suspended by the Financial Industry Regulatory Authority, (“FINRA”) on November 26, 2021 for failing to respond to FINRA’s inquiries;
6. Dennis V. Riordan was suspended by FINRA on December 3, 2021 for failing to respond to FINRA’s inquiries;
7. The Division sent Dennis V. Riordan and Wynston Capital, LLC (hereafter jointly referred to as “RESPONDENTS”) several inquiries to the RESPONDENTS via email, U.S. certified mail, and U.S. first-class mail on December 2, 2021 and December 22, 2021;
8. The RESPONDENTS have failed to respond to any of the Division’s inquires;
9. RESPONDENTS have been parties to several prior regulatory actions from other states, FINRA, and the National Association of Securities Dealers;
10. Pursuant to SDCL 47-31B-602, the Director may conduct public or private investigations within or outside of the state which the Director considers necessary or appropriate to determine compliance with Chapter 47-31B;
11. Pursuant to SDCL 47-31B-604, if the director determines that a person has violated

Chapter 47-31B, the director may issue an order revoking a broker-dealers registration in this state;

12. That the director finds that the RESPONDENTS have violated SDCL 47-31B-602 and FINRA rule 8210;
13. The above findings provide sufficient grounds for issuance of an order revoking the Broker Dealer Registration of the RESPONDENTS in accordance with the provisions of SDCL 47-31B-604;
14. This order is necessary and appropriate in the public interest and for the protection of investors and are consistent with the policies and provisions of the South Dakota Uniform Securities Act, SDCL Chapter 47-31B.

THEREFORE, IT IS HEREBY ORDERED, pursuant to SDCL 47-31B-604, that the South Dakota Broker Dealer Registration of the RESPONDENTS will hereby be revoked. The RESPONDENTS all officers, directors, brokers, agents, and employees thereof shall cease and desist from acting or offering to act as an investment advisor in the State of South Dakota until further order of the Director. Any willful violation of this Order is a Class 4 felony pursuant to SDCL 47-31B-508.

NOTICE IS HERBY GIVEN pursuant to SDCL 47-31B-604(b), that the RESPONDNETS and any officer, director, broker, agent, and employee thereof, may request a hearing regarding this matter. A hearing will be scheduled within fifteen days after the Division receives a request at the Office of Hearing Examiners in Pierre, South Dakota. At hearing, the above-referenced parties may appear in person or be represented by counsel pursuant to SDCL Chapter 1-26. If a request for a hearing is not received by the Division within 30 days after the above-referenced parties receive this order, then this order will become final.


If a hearing is requested or ordered, the Director, after notice of and opportunity for hearing to each person subject to the order, may modify or vacate this Order or extend it until final determination.

If the amount in controversy exceeds \$2,500 or if a property right may be terminated, any party to the contested case may require the Division to use the Office of Hearing Examiners by giving notice to the Division no later than 10 days after service of a notice of hearing issued pursuant to SDCL 1-26-17.

If requested, an administrative hearing is an adversary proceeding and any interested party has a right to be present at the hearing and to be represented by an attorney during the hearing. Due process rights will be forfeited if they are not exercised at a hearing. A default order may be issued against any party not appearing at a hearing. Any action taken at the hearing, if requested, may be appealed to the Circuit Court and the Supreme Court pursuant to SDCL Chapter 1-26. Handicapped persons who wish to attend should contact the Division so the hearing can be held in a place readily accessible to them.

A person who is not an original party to a contested case and whose pecuniary interests would be directly affected by the Division's Order, may become a party to a hearing, if requested, by intervention if timely application therefore is made to the Division, pursuant to SDCL 1-26-17.1.

Dated at Pierre, South Dakota this 1st day of February, 2022.



Larry Deiter, Insurance Division Director
South Dakota Department of Labor & Regulation

CERTIFICATE OF SERVICE

I, Clayton Grueb, the undersigned, do hereby certify that on the date shown below, a true and correct copy of the Order to Revoke Registration was sent U.S. Certified Mail and U.S. First Class Mail thereon, to the following:


WYNSTON HILL CAPTIAL, LLC
324 S. Splitrock Blvd.
Unit 2
Brandon, SD 57005

DENNIS V. RIORDAN
2711 E. Sunburst Dr.,
Brandon, SD 57055

DENNIS V. RIORDAN
324 S. Splitrock Blvd.
Unit 2
Brandon, SD 57005

DENNIS V. RIORDAN
1109 Harding Park
Bronx, NY 10473

Dated at Pierre, South Dakota this 1 day of February, 2022.



Clayton Grueb
Insurance Division Counsel
South Dakota Dept. of Labor and Regulation
2330 N. Maple Ave
Rapid City, SD 57701
Phone (605) 394-3396
Fax (605) 773-5369