

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

IN THE MATTER OF SCOTT HARDIE	INS 26-33472 CONSENT ORDER
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In resolution of the above matter and in lieu of issuance of a Notice of Hearing and a formal hearing, the undersigned parties do hereby agree to the following:

SCOTT HARDIE, CRD 4292745, with an address of record of 525 5th St. SE, Watertown, SD 57201, is a broker dealer registered to transact business in the State of South Dakota;

SCOTT HARDIE is aware that the South Dakota Division of Insurance (Division) has conducted an investigation of their broker dealer activities in South Dakota;

The Division alleges the following with regard to SCOTT HARDIE:

1. The Division conducted a routine examination at SCOTT HARDIE's office;
2. The Division's examination found that SCOTT HARDIE violated SDCL 47-31B-411(d); SDCL 47-31B-412(d)(2); SDCL 47-31B-412(d)(8); and FINRA rule 8210(a)(2) by causing the onsite branch exam to not be fully conducted on the scheduled date; and for failing to notify his firm, of the exam; and for not following his firms compliance procedures regarding regulatory inquiries and examinations.
3. Pursuant to SDCL 47-31B-412 and 47-31B-604, the Director of the Division may revoke or suspend SCOTT HARDIE's registration or impose a monetary penalty of up to \$10,000 per violation;

SCOTT HARDIE is aware of and understands the nature of the allegations and has been informed that they have the right to a Notice of Hearing, counsel, and appeal, and that by agreeing to sign this Consent Order, waives these rights;

In return for SCOTT HARDIE agreeing to and complying with the provisions of this Consent Order, the Division agrees not to proceed to administrative hearing and agrees that this Consent Order will constitute an informal disposition of this licensing matter pursuant to SDCL 1-26-20;

SCOTT HARDIE waives their right to contest the allegations contained in this Consent Order in any future actions or licensing procedures;

SCOTT HARDIE agrees to a civil penalty in the amount of \$2,000 pursuant to SDCL 47-31B-604, in lieu of an administrative hearing and Final Decision;

SCOTT HARDIE further agrees to conduct themselves in accordance with the securities laws and regulations of the State of South Dakota; and

SCOTT HARDIE further agrees that this Consent Order may be considered for the purpose of determining the appropriate sanction in any future actions with the Division for any violations of the laws or regulations of the State of South Dakota or for failing to abide by any order of the Director;

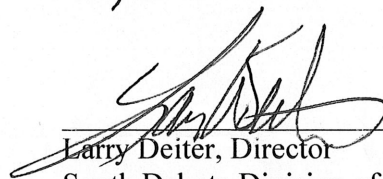
Wherefore, good cause appearing from the foregoing, it is hereby ORDERED that SCOTT HARDIE pay a civil penalty in the amount of \$2,000 payable to "South Dakota Division of Insurance" for deposit in the General Fund of the State of South Dakota; and it is further

ORDERED that SCOTT HARDIE abide by the agreements made by them in this Consent Order; and it is further

ORDERED that this Consent Order is necessary and appropriate in the public interest and for the protection of the public and investors and is consistent with the purposes fairly intended by the policy and provisions of SDCL Ch. 47-31B; and it is further

ORDERED that the provisions of this Consent Order shall be effective from the date the Director signs this Order.

Dated at Pierre, South Dakota this 5th day of August, 2026.



Larry Deiter, Director
South Dakota Division of Insurance

I have read and understand the terms of this Consent Order and the waiver of my due process rights and voluntarily enter into this Consent Order.

Dated this 10 day of July, 2026.



SCOTT HARDIE