

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 3630 / July 18, 2013

ADMINISTRATIVE PROCEEDING
File No. 3-15380

In the Matter of

JON HARVEY DEAL,

Respondent.

ORDER INSTITUTING
ADMINISTRATIVE PROCEEDINGS
PURSUANT TO SECTION 203(f) OF THE
INVESTMENT ADVISERS ACT OF 1940,
MAKING FINDINGS, AND IMPOSING
REMEDIAL SANCTIONS

I.

The Securities and Exchange Commission (“Commission”) deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Section 203(f) of the Investment Advisers Act of 1940 (“Advisers Act”) against Jon Harvey Deal (“Deal” or “Respondent”).

II.

In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement (the “Offer”) which the Commission has determined to accept. Solely for the purpose of these proceedings and any other proceedings brought by or on behalf of the Commission, or to which the Commission is a party, Respondent consents to the Commission’s jurisdiction over him and the subject matter of these proceedings and to the entry of this Order Instituting Administrative Proceedings Pursuant to Section 203(f) of the Investment Advisers Act of 1940, Making Findings, and Imposing Remedial Sanctions (“Order”), as set forth below.

III.

On the basis of this Order and Respondent's Offer, the Commission finds that:

1. Deal, 55 years old, is a resident of Montgomery, Alabama. From at least November 2007 through at least November 2011, Deal was an associated person of Wilson Price Wealth Management, LLC, an investment adviser registered with the Commission from at least June 2009 through at least April 2012.

2. On August 29, 2012, Deal pled guilty to one count of securities fraud in violation of Title 15, United States Code, Sections 78j(b) and 78ff(a) and Title 17, Code of Federal Regulations, Section 240.10b-5 before the United States District Court for the Middle District of Alabama, in United States v. Jon Harvey Deal, Crim. No. 2:12-CR-155-01-MHT. On January 2, 2013, a judgment in the criminal case was entered against Deal. He was sentenced to a prison term of 38 months followed by two years of supervised release and ordered to pay an assessment fee in the amount of \$100.00.

3. The count of the criminal information to which Deal pled guilty alleged, inter alia, that Deal, by the use of means and instrumentalities of interstate commerce, willfully employed a device, scheme, and artifice to defraud in connection with the sale of securities. Deal is further alleged, from on or about October 2008 through on or about October 2011, to have written approximately \$440,000 in checks from a client's securities account for his own personal benefit, without the authorization or knowledge of the client.

IV.

In view of the foregoing, the Commission deems it appropriate and in the public interest to impose the sanctions agreed to in Respondent Deal's Offer.

Accordingly, it is hereby ORDERED pursuant to Section 203(f) of the Advisers Act that Respondent Deal be, and hereby is:

barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization.

Any reapplication for association by the Respondent will be subject to the applicable laws and regulations governing the reentry process, and reentry may be conditioned upon a number of factors, including, but not limited to, the satisfaction of any or all of the following: (a) any disgorgement ordered against the Respondent, whether or not the Commission has fully or partially waived payment of such disgorgement; (b) any arbitration award related to the conduct that served as the basis for the Commission order; (c) any self-regulatory organization arbitration award to a customer, whether or not related to the conduct that served as the basis for the Commission order;

and (d) any restitution order by a self-regulatory organization, whether or not related to the conduct that served as the basis for the Commission order.

By the Commission.

Elizabeth M. Murphy
Secretary