



# CONNECTICUT DEPARTMENT OF BANKING

[Home](#) [About Us](#) [Programs & Services](#) [Forms](#) [Contact Us](#)



**Howard F. Pitkin**  
Commissioner

- [Consumer Help](#)
- [Business Opportunities](#)
- [Enforcement](#)
- [Laws & Regulations](#)
- [Licensing](#)
- [Securities Registration](#)
- [Verify a License](#)
- [Securities Bulletin](#)
- [External Links](#)
- [Division Home Page](#)
- [Main Menu](#)



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**IN THE MATTER OF:**

**WESTROCK ADVISORS, INC.**  
**CRD No. 114338**

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\*  
\* **CERTIFICATION**  
\*  
\* **DOCKET NO. RCF-10-7887-S**  
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The undersigned hereby certifies, on behalf of the Banking Commissioner ("Commissioner"), that:

1. On December 8, 2010, the Commissioner issued an Order to Cease and Desist ("Order"), Notice of Intent to Revoke Registration as Broker-dealer, Notice of Intent to Fine and Notice of Right to Hearing (collectively "Notice") against Westrock Advisors, Inc. ("Respondent"), a copy of the [Notice](#) is attached hereto and incorporated by reference herein;
2. The Order provided that it would remain in effect and become permanent against Respondent if a hearing was not requested within 14 days of its receipt;
3. On December 9, 2010, the Notice was sent by certified mail, return receipt requested, to Respondent;
4. On December 21, 2010, the Notice was returned to the Department of Banking marked "Returned To Sender – Moved, Left No Address";
5. On December 21, 2010, the Notice was served on the Commissioner, and on December 22, 2010, in accordance with 36b-33(g) of the General Statutes of Connecticut, as amended by Public Act 10-141, Notice of Service on the Banking Commissioner In the Matter of: Westrock Advisors, Inc., dated December 22, 2010 ("Notice of Service"), was sent by registered mail, return receipt requested, to Respondent;
6. Respondent has failed to request a hearing on the matters set forth in the Order within 14 days of the date of the Notice of Service; and
7. On January 6, 2011, the Order issued against Respondent became permanent.

Dated at Hartford, Connecticut,  
this 10th day of January 2011.

HOWARD F. PITKIN  
BANKING COMMISSIONER

By: \_\_\_\_\_/s/\_\_\_\_\_  
Paul A. Bobruff  
Principal Attorney

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