

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF BANKING AND SECURITIES

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF BANKING AND
SECURITIES, BUREAU OF SECURITIES
COMPLIANCE AND EXAMINATIONS

v.

BRESLIN WEALTH MANAGEMENT CO, LLC
TIMOTHY JAMES BRESLIN

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: Docket No.: 25 0001 (SEC-DO)
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NOTICE OF RIGHT TO APPEAL AND HEARING

You have the right to challenge the attached Denial Order (“Order”) by filing an Answer, in writing, with the Docket Clerk **within 30 days** of the date of this Order as required by 1 Pa. Code § 35.37. **If you do not file an Answer within 30 days, then you will waive your right to a hearing and the Banking and Securities Commission (“Commission”) may enter a final order against you.**

Your answer must be in writing. Your Answer must specifically admit or deny the allegations in the Order, set forth the facts you rely upon and state concisely the law you rely upon. General denials of the allegations set forth in the Order are not sufficient; you must support your denials with specific facts. Failure to support your denials with specific facts may cause the Commission to deem the facts in the Order as admitted and to enter a final order against you, without a hearing.

The Answer and any other documents relating to this matter must be filed with the Docket Clerk:

Linnea Freeberg, Docket Clerk
Department of Banking and Securities
17 N. Second St., Ste. 1300
Harrisburg, PA 17101
Email: RA-BNDOCKETCLERK@pa.gov

Further, you must serve a copy of the Answer and any other documents on the person who signed the attached Order by providing a copy to their counsel set forth below:

Michael J. Gennett
Assistant Counsel
Department of Banking and Securities

17 N. Second St., Ste. 1300
Harrisburg, PA 17101
Email: RA-BNCHIEFCOUNSEL@pa.gov

Once you file your Answer, you will be notified of pertinent information such as the name of the presiding officer designated by the Commission to hear this matter and, if a hearing is scheduled, the date, time, and location of the hearing. You have the right to be represented by an attorney.

All procedural matters will be governed by the Pennsylvania Administrative Agency Law, 2 Pa. C.S. §§501-508, 701-704, and the General Rules of Administrative Practice and Procedure, 1 Pa. Code §§31.1.-35.251.

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF BANKING AND SECURITIES

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SECURITIES, BUREAU OF SECURITIES	:	
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	:	
BRESLIN WEALTH MANAGEMENT CO, LLC	:	
TIMOTHY JAMES BRESLIN	:	
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DENIAL ORDER

1. The Department of Banking and Securities (“Department”) is the Commonwealth of Pennsylvania’s administrative agency authorized and empowered to administer and enforce the Pennsylvania Securities Act of 1972 (“1972 Act”).

2. The Bureau is primarily responsible for administering and enforcing the 1972 Act for the Department.

3. The Bureau operates from the Department’s main office located at 17 North Second Street, Suite 1300, Harrisburg, Pennsylvania 17101.

4. Breslin Wealth Management Co., LLC (“Respondent BWM”), CRD #333402 was at all times material herein a Pennsylvania limited liability corporation with an address at
Redacted .

5. Timothy James Breslin (“Respondent Breslin”), CRD # 2981153, was, at all times material herein, an individual with an address at Redacted
Respondent Breslin is the owner and chief compliance officer of Respondent BWM.

6. As the owner and chief compliance officer of Respondent BWM, Respondent Breslin is an “affiliate” of Respondent BWM within the meaning of Section 102(b) of the 1972 Act, 70 P.S. §1-102(b).

7. On or about November 19, 2024, Respondent BWM applied for registration as an investment advisor, under Section 301 of the 1972 Act, on November 19, 2024.

8. Section 305(a)(iv)(B) of the 1972 Act, states:

[t]he department may, by order, deny, suspend, revoke or condition any registration or may censure any registrant if it finds that such order is in the public interest and that such registrant or applicant, or in the case of any broker-dealer or investment adviser, any affiliate thereof, whether prior or subsequent to becoming associated with such person: (iv) Is subject to (B) any currently effective order of any self-regulatory organization suspending or expelling such person from membership in such self-regulatory organization... 70 P.S. § 1-305(a)(iv)(B)

9. The Financial Industry Regulatory Authority (“FINRA”) is a self-regulatory organization, as defined in Section 102(s.2) of the 1972 Act, 70 P.S. § 1-102(s.2.

10. On or about August 2, 2023, Respondent Breslin executed a Letter of Acceptance, Waiver, and Consent (“AWC”).

11. On or about August 3, 2023, FINRA's National Adjudicatory Council Review Subcommittee accepted the AWC. As a result, Respondent Breslin was barred from associating with any FINRA member in any capacity.

12. By engaging in the acts and conduct set forth in paragraphs 4 through 12 above, Respondent Breslin, an affiliate of Respondent BWM, is subject to a currently effective order of a self-regulatory organization, FINRA, suspending or expelling Respondent Breslin from membership in FINRA.

AUTHORITY

13. Section 305 of the 1972 Act authorizes the Department to deny any registration if the applicant or an affiliate of the applicant has “any currently effective order of any self-regulatory organization suspending or expelling such person from membership in such self-regulatory organization...” 70 P.S. § 1-305(a)(iv)(B).

SANCTIONS AND REMEDIES

WHEREAS, pursuant to Section 305 of the 1972 Act, 70 P.S. § 1-305, that the registration applications of Respondent BWM is **DENIED**.

IT IS SO ORDERED.

FOR THE COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF BANKING AND SECURITIES
BUREAU OF SECURITIES COMPLIANCE AND EXAMINATIONS



Redacted

Eric Pistilli
Deputy Secretary of Securities

1/2/25
(Date)

