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Texas State Securities Board

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IN THE MATTER OF THE
INVESTMENT ADVISER
REPRESENTATIVE REGISTRATION OF
ALEX FRANCIS WEISBERG, JR.

§
§
§
§

Order No. IC08-CEN-16

TO: Alex Francis Weisberg, Jr. (CRD No. 1183406)
Weisberg & Fields, Inc.
8750 N. Central Expressway, Suite 1010
Dallas, TX 75231

DISCIPLINARY ORDER

Be it remembered that Alex Francis Weisberg, Jr. ("Respondent"), appeared before the Securities Commissioner of the State of Texas ("Securities Commissioner") and consented to the entry of this Order and the Findings of Fact and Conclusions of Law contained herein.

FINDINGS OF FACT

1. Respondent has waived (a) Respondent's right to notice and hearing in this matter; (b) Respondent's right to appear and present evidence in this matter; (c) Respondent's right to appeal this Order; and (d) all other procedural rights granted to the Respondent by The Securities Act, TEX. REV. CIV. STAT. ANN. art. 581-1 et seq. (Vernon 1964 & Supp. 2008)("Texas Securities Act"), and the Administrative Procedure Act, TEX. GOVT CODE ANN. § 2001.001 et seq. (Vernon 2000 & Supp. 2008)("Administrative Procedure Act").
2. From on or about September 4, 1987 to the present, Weisberg & Fields, Inc. ("W&F") has been registered under the Investment Advisers Act of 1940 with the United States Securities and Exchange Commission as an investment adviser, and is a federal covered investment adviser that is notice-filed with the Securities Commissioner.
3. From on or about August 4, 1987 to on or about December 31, 2002, Respondent was registered with the Securities Commissioner as an investment adviser representative of W&F.

4. Pursuant to §116.2(f)(3) of the Rules and Regulations of the Texas State Securities Board effective March 6, 2002, all persons seeking registration with the Securities Commissioner as an investment adviser representative were required to file the Uniform Application for Securities Industry Registration or Transfer ("Form U-4") via the electronic filing system maintained by the National Association of Securities Dealers, Inc. ("NASD") [currently known as the Financial Industry Regulatory Authority (FINRA)].
5. As of December 31, 2002, Respondent had not filed an electronic Form U-4 with the Securities Commissioner as an investment adviser representative of W&F, and did not transition onto the electronic filing system maintained by the NASD.
6. From on or about January 1, 2003 to on or about February 28, 2007, Respondent rendered investment advisory services to W&F's clients in Texas on behalf of W&F, for compensation, at a time when Respondent was not registered as an investment adviser representative of W&F.
7. On or about December 11, 2006, Respondent submitted an application for registration with the Securities Commissioner as an investment adviser representative of W&F, which is currently pending.
8. Section 12.B of the Texas Securities Act, prohibits a person from rendering services as an investment adviser representative in Texas unless the person is registered under the Texas Securities Act, submits a notice filing as provided by Section 12-1 of the Texas Securities Act, or is otherwise exempt.

CONCLUSIONS OF LAW

1. Respondent rendered services in Texas as an "investment adviser representative" as that term is defined by Section 4.P of the Texas Securities Act.
2. From on or about January 1, 2003 to on or about February 28, 2007, Respondent violated Section 12.B of the Texas Securities Act by rendering services as an investment adviser representative in Texas for W&F at a time when Respondent was not registered with the Securities Commissioner as an investment adviser representative of W&F.
3. Pursuant to Section 14.A(6) of the Texas Securities Act, the foregoing violation constitutes a basis for the issuance of an order reprimanding a registered investment adviser.

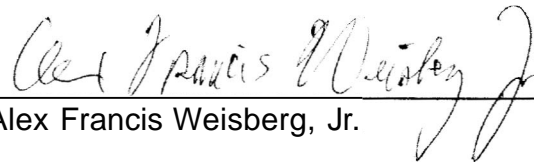
ORDER

1. It is therefore ORDERED that the registration of Alex Francis Weisberg, Jr. with the Securities Commissioner as an investment adviser representative of Weisberg & Fields, Inc. is hereby GRANTED.
2. It is further ORDERED that Alex Francis Weisberg, Jr. is hereby REPRIMANDED.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 14th
day of October, 2008.


DENISE VOIGT CRAWFORD
Securities Commissioner

Respondent:


Alex Francis Weisberg, Jr.

Approved as to Form:

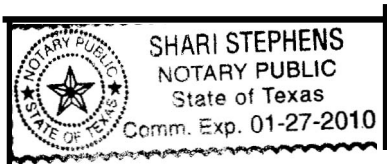

Benette L. Zivley
Director
Inspections and Compliance Division


Ronak V. Patel
Attorney
Inspections and Compliance Division

ACKNOWLEDGMENT

On the 2nd day of October, 2008, Alex Francis Weisberg, Jr. ("Respondent"), personally appeared before me, executed the foregoing Order, and acknowledged:

1. Respondent has read the foregoing Order;
2. Respondent has been fully advised of his rights under the Texas Securities Act and the Administrative Procedure Act;
3. Respondent knowingly and voluntarily consents to the entry of the foregoing Order and the Findings of Fact and Conclusions of Law contained therein; and,
4. Respondent, by consenting to the entry of the foregoing Order, has knowingly and voluntarily waived his rights as set forth therein.



[affix notary seal here]

Shari Stephens
 Notary Public in and for
 the State of Texas

My commission expires on: 01-27-2010