UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 106253 / September 1, 2026

ADMINISTRATIVE PROCEEDING
File No. 3-20074

In the Matter of **Hancock Whitney Investment Services, Inc.** **Respondent.**	**ORDER AUTHORIZING THE TRANSFER TO THE U.S. DEPARTMENT OF THE TREASURY OF THE REMAINING FUNDS AND ANY FUNDS RETURNED TO THE FAIR FUND IN THE FUTURE AND TERMINATING THE FAIR FUND**

On September 25, 2020, the Commission issued an Order Instituting Administrative and Cease-and-Desist Proceedings, Pursuant to Section 15(b) of the Securities Exchange Act of 1934 and Sections 203(e) and 203(k) of the Investment Advisers Act of 1940, Making Findings, and Imposing Remedial Sanctions and a Cease-and-Desist Order (the "Order")[1] against Hancock Whitney Investment Services, Inc. ("HWIS" or the "Respondent"), a dually-registered investment adviser and broker-dealer, incorporated in Mississippi and headquartered in New Orleans, Louisiana. In the Order, the Commission found that HWIS willfully violated Section 206(2) and Section 206(4) of the Investment Advisers Act of 1940 and Rule 206(4)-7 thereunder.

The Commission ordered the Respondent to pay $1,651,686.29 in disgorgement, $286,105.79 in prejudgment interest, and $400,000 in civil money penalties, for a total of $2,337,792.08. The Order created a Fair Fund, pursuant to Section 308(a) of the Sarbanes-Oxley Act of 2002, so that the penalty, along with the disgorgement and prejudgment interest, could be distributed to harmed investors (the "Fair Fund").

Pursuant to the Order, the Respondent was responsible for administering the Fair Fund at its own expense pursuant to a calculation specified in the Order. A $10.00 *de minimis* amount was applied to closed accounts.

The Respondent distributed a total of 2,404 payments, totaling $2,044,539.81, of which 2,205 payments, totaling $1,981,586.31, were successfully disbursed to harmed investors. Therefore, harmed investors were compensated for 96.9% of their losses. Distribution payments ranged from $0.15 to $30,616.29. The Respondent has returned $371,463.49 to the Commission

[1] Securities Act Rel. No. 90004 (Sept. 25, 2020).

that consists of uncashed checks and other residual amounts (e.g., amounts resulting from rounding).

The Order further requires the Respondent to provide a final accounting to the Commission staff for submission to the Commission for approval. Upon approval of the final accounting, all remaining amounts in the Fair Fund that are infeasible to return to investors, and any funds returned in the future that are infeasible to return to investors, are to be sent to the U.S. Department of the Treasury (the "Treasury"). The final accounting has been submitted to the Commission for approval, as required by the Order, and has been approved.

Accordingly, it is ORDERED that:

A. the remaining funds in the amount of $371,463.49 that are infeasible to return to investors, and any funds returned to the Fair Fund in the future that are infeasible to return to investors, shall be transferred to the Treasury, subject to Section 21F(g)(3) of the Securities Exchange Act of 1934; and

B. the Fair Fund is terminated.

By the Commission.

Vanessa A. Countryman
Secretary