

**STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT**

IN THE MATTER OF: Andrey V. Tkatchenko)
_____))

FILE NO. 1200285

Consent Order of Dismissal

TO THE RESPONDENT:

Andrey V. Tkatchenko
18 Majestic Ave
Lincroft, NJ 07738

John Carris Investments LLC
40 Wall Street Suite 1706
New York, NY USA 10005

WHEREAS, Respondent on the 14th day of September, 2012 executed a certain Stipulation to Enter Consent Order of Dismissal (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, Respondent has admitted to the jurisdiction of the Secretary of State and service of the Notice of Hearing of the Secretary of State, Securities Department, dated August 24th, 2012, in this proceeding (the "Notice") and Respondent has consented to the entry of this Consent Order of Dismissal ("Consent Order").

WHEREAS, by means of the Stipulation, the Respondent acknowledged, without admitting or denying the truth thereof, that the following allegations contained in the Amended Notice of Hearing shall be adopted as the Secretary of State's Findings of Fact:

1. That at all relevant times, the Respondent was registered with the Secretary of State as a salesperson in the State of Illinois pursuant to Section 8 of the Act.
2. That on May 23, 2012 FINRA entered Acceptance, Waiver & Consent ("**AWC**" or "**Order**") submitted by the Respondent regarding Disciplinary Proceeding No. 2008011743304 which sanctioned the Respondent as follows:

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- a) suspended from association with any FINRA member in any capacity for fifteen (15) business days; and
 - b) fined \$10,000.
3. That the Order found: NASD Rules 2110, 3110(A): Tkatchenko caused the trade tickets and/or trade confirmations pertaining to more than two dozen transactions in a stock he read "solicited." Tkatchenko's failure to accurately report these transactions prevented his member firm's compliance department from exercising proper supervision over them because it misled the firm into believing that the intention to execute these trades had originated with the customers. It also caused the firm to keep inaccurate records concerning these trades. Tkatchenko caused his firm to create and maintain inaccurate books and records, in violation of section 17(A) of the securities exchange Act of 1934 and rule 17A-3 promulgated thereunder.
 4. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson may be revoked if the Secretary of State finds that such Salesperson has been suspended by any self-regulatory organization Registered under the Federal 1934 Act or the Federal 1974 Act arising from any fraudulent or deceptive act or a practice in violation of any rule, regulation or standard duly promulgated by the self-regulatory organization.
 5. That FINRA is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.

WHEREAS, by means of the Stipulation Respondent has acknowledged, without admitting or denying the averments, that the following shall be adopted as the Secretary of State's Conclusion of Law:

Respondent's registration as a salesperson **in the State** of Illinois is subject to revocation pursuant to Section 8.E(1)(j) of the Act.

WHEREAS, by means of the Stipulation Respondent has acknowledged and agreed that he has executed a certain Affidavit, which contains undertakings that he will adhere to upon entry of this Consent Order. Said Affidavit is incorporated herein and made a part hereof.

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WHEREAS, the Secretary of State, by and through his duly authorized representative, has determined that the matter related to the aforesaid formal hearing may be dismissed without further proceedings.

NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED THAT:

1. The Amended Notice of Hearing dated May 1, 2012 is dismissed.
2. The Respondent shall comply with all of the terms and conditions contained in her accompanying Affidavit, which has been made a part of this Order.
3. The formal hearing scheduled on this matter is hereby dismissed without further proceedings.

ENTERED: This 17th day of September 2012.



JESSE WHITE
Secretary of State
State of Illinois