

STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT

IN THE MATTER OF: Richard Neil Rosenberg )

FILE NO. 1100421 )

ORDER OF DISMISSAL

TO RESPONDENT:

Richard Neil Rosenberg (Crd#: 1068509)  
857 W. Belden Ave  
Chicago, IL 60614

C/O LPL Financial LLC  
Attn: Director of Compliance  
2640 Patriot Blvd  
Ste 220  
Glenview, IL 60026

TO THE HEARING  
OFFICER:

Soula J. Spyropoulos  
4125 West Lunt Street  
Lincolnwood, Illinois 60712

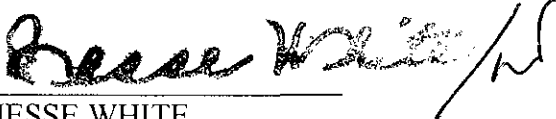
WHEREAS, at the time of the Notice of Hearing, the Illinois Department of Revenue's ("Department of Revenue") records indicated an outstanding tax assessment of a tax administered by the Department of Revenue;

WHEREAS, the Illinois Department of Revenue has released such tax assessment; and

WHEREAS, the Secretary of State, by and through his duly designated representative, has determined that the Notice of Hearing entered on October 19, 2011 may be dismissed against the Respondent.

IT IS HEREBY ORDERED: The Notice of Hearing entered on October 19, 2011 against the Respondent Richard Neil Rosenberg in this matter is dismissed without prejudice.

Dated: This 7<sup>th</sup> day of November 2011.



JESSE WHITE  
Secretary of State

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