

STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT

IN THE MATTER OF: MICHAEL HARBERT

FILE NO. 1100310

AMENDED NOTICE OF HEARING

TO THE RESPONDENT:

Michael Harbert
(CRD#: 5465069)
1569 Amaryllis Drive
Romeoville, Illinois 60446

Michael Harbert
(CRD#: 5465069)
C/o Pruco Securities, LLC.
751 Broad Street
Newark, New Jersey 07102-3777

You are hereby notified that pursuant to Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act") and 14 Ill. Adm. Code 130, Subpart K, a public hearing will be held at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602, on the 25th day of January, 2012 at the hour of 10:00 a.m. or as soon as possible thereafter, before James L. Kopecky, Esq. or such other duly designated Hearing Officer of the Secretary of State.

Said hearing will be held to determine whether an Order shall be entered revoking Michael Harbert's (the "Respondent") registration as a salesperson and denying his registration as an investment adviser representative in the State of Illinois and/or granting such other relief as may be authorized under the Act including but not limited to the imposition of a monetary fine in the maximum amount pursuant to Section 11.E(4) of the Act, payable within ten (10) business days of the entry of the Order.

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The grounds for such proposed action are as follows:

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. That on August 5, 2011, Pruco Securities, LLC., a Federal covered investment adviser approved in the State of Illinois, filed a Form U-4 application for registration of the Respondent as an investment adviser representative in the State of Illinois.
2. That the Secretary of State has found:
 - a. The Respondent has failed to pay the Illinois Department of Revenue the sum of \$3,653.92 representing penalty and interest for the year 2005; and
 - b. The Respondent has failed to file returns for the years 2006, 2007, 2008, 2009 and 2010.
3. That Section 8.E(1)(o) of the Act provides, inter alia, that the registration of a salesperson may be revoked and the registration of an investment adviser representative may be denied if the Secretary of State finds that such sales person or investment adviser representative has failed to file a return, or to pay the tax, penalty or interest shown in a filed return, or to pay any final assessment of tax, penalty or interest, as required by any tax Act administered by the Illinois Department of Revenue, until such time as the requirements of that tax Act are satisfied.
4. That by virtue of the foregoing, the Respondent's registration as a salesperson and investment adviser representative in the State of Illinois are subject to revocation and denial respectively pursuant to Section 8.E(1)(o) of the Act.

You are further notified that you are required pursuant to Section 130.1104 of the Rules and Regulations (14 ILL. Adm. Code 130)(the "Rules"), to file an answer to the allegations outlined above within thirty (30) days of the receipt of this Notice. A failure to file an answer within the prescribed time shall be construed as an admission of the allegations contained in the Notice of Hearing.

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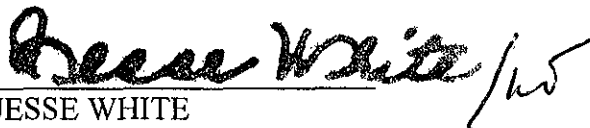
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Furthermore, you may be represented by legal counsel; may present evidence; may cross-examine witnesses and otherwise participate. A failure to so appear shall constitute default, unless any Respondent has upon due notice moved for and obtained a continuance.

A copy of the Rules, promulgated under the Act and pertaining to hearings held by the Office of the Secretary of State, Securities Department, is included with this Notice.

Delivery of Notice to the designated representative of any Respondent constitutes service upon such Respondent.

Dated: This 13th day of December 2011.


JESSE WHITE
Secretary of State
State of Illinois

Attorney for the Secretary of State:
Daniel A. Tunick
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Illinois Securities Department
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Chicago, Illinois 60602
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Hearing Officer:
James Kopecky
203 N. LaSalle
Chicago, Illinois 60601