

STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT

IN THE MATTER OF THE HOGAN COMPANY AND  
ITS OFFICERS, DIRECTORS,  
EMPLOYEES, AFFILIATES,  
SUCCESSORS, AGENTS AND  
ASSIGNS

File No 1300073

NOTICE OF HEARING

TO THE RESPONDENT The Hogan Company  
333 South 7<sup>th</sup> Street, Suite 2800  
Minneapolis, Minnesota 55402

You are hereby notified that pursuant to Section 11.F of the Illinois Securities Law of 1953, [815 ILCS 5/1 et seq.,] (the "Act") and 14 Ill. Adm. Code 130, Subpart K, a public hearing will be held at 300 W. Jefferson Avenue, Suite 300A, Springfield, Illinois, 62702, on the 19th day of June, 2013 at the hour of 10:00 a.m. or as soon thereafter as counsel may be heard, before Jon K. Ellis or such other duly designated Hearing Officer of the Secretary of State

Said hearing will be held to determine whether an Order should be entered against The Hogan Company (the "Respondent") in the State of Illinois and/or whether to grant such other relief as may be authorized under the Act, including, but not limited to, 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.

The grounds for such proposed action are as follows.

1. At all relevant times, the Respondent was registered with the Secretary of State as a dealer in the State of Illinois pursuant to Section 8 of the Act through December 31, 2012
2. Section 8 B(9)(a) of the Act requires that each dealer registered in the State of Illinois file a "Designated Principal(s) Form" (DPF) with the Secretary of State by December 31 of the current year for the next calendar year

Notice of Hearing

-2-

- 3 The Respondent failed to file the DPF by December 31, 2012
- 4 The Office of the Secretary of State, Illinois Securities Department (the "Department") has repeatedly attempted to contact the Respondent by letter, email and telephone to remind them of their obligation to file the DPF and pay the required late filing fee.
- 5 On March 13, 2013, William E Hogan II, Ph D contacted the Department by telephone and email to request an emailed copy of the DPF.
- 6 On March 13, 2013, the Department provided the Respondent with said copy
- 7 Since March 13, 2013, the Department has repeatedly attempted to contact the Respondent by email and telephone to remind them to submit the DPF and pay the required late filing fee or, alternatively, withdraw their registration in Illinois.
- 8 The Respondent has refused and continues to refuse to file the DPF and pay the late filing fee
9. Section 12.D of the Act provides, inter alia, that it shall be a violation of the provisions of the Act for any person to fail to file with the Secretary of State any application, report or document required to be filed under the provisions of the Act or any rule or regulation made by the Secretary of State pursuant to the Act
- 10 By virtue of the foregoing, the Respondent has committed a violation of Section 12 D of the Act
11. Section 8.E(1)(g) of the Act provides that the registration of a dealer may be revoked if it has violated any of the provisions of this Act
- 12 By virtue of the foregoing, the Respondent's registration as a dealer in the State of Illinois is subject to revocation pursuant to Section 8 E(1)(g) 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 130.100 et seq ) (the "Rules") to file an answer to the allegations outlined above or a Special Appearance pursuant to Section 130 1107 of the Rules, or other responsive pleading within thirty (30) days of the receipt of this Notice. A failure to do so within the prescribed time shall be deemed an admission of the allegations contained in the Notice of Hearing and waives your right to a hearing.

You may be represented by legal counsel, present evidence, cross-examine witnesses and otherwise participate. However, a failure to appear shall constitute default.

Notice of Hearing

-3-

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

ENTERED: This 27<sup>th</sup> day of March, 2013



JESSE WHITE  
Secretary of State  
State of Illinois

Attorney for the Secretary of State.

Shannon Bond  
Illinois Securities Department  
300 W. Jefferson St , Suite 300A  
Springfield, Illinois 62702  
Telephone (217) 524-0648

Hearing Officer

Jon K Ellis