

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

\_\_\_\_\_  
IN THE MATTER OF: DENNIS R. WEDDLE II. )  
\_\_\_\_\_ )

FILE NO. 0600625

**NOTICE OF HEARING**

**TO THE RESPONDENT:** Dennis R. Weddle II  
(CRD #: 2671849)  
728 Viola Circle  
Henderson, Nevada 89015

C/o Brookstreet Securities Corporation  
2361 Campus Drive Suite 210  
Irvine, California 92612

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 9<sup>th</sup> day of May, 2007 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 Dennis R. Weddle II's (the "Respondent") registration as a salesperson and 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.

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 and investment adviser representative in the State of Illinois pursuant to Section 8 of the Act.

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2. That on September 19, 2006, NASD entered a Letter Of Acceptance, Waiver And Consent (AWC) submitted by the Respondent regarding File No. 20050012479 which sanctioned the Respondent as follows:
  - a. fined \$7,500; and
  - b. suspension from association with any NASD member in any capacity for a period of 60 calendar days. After consideration of a 51-day suspension sanction imposed by AEFA (Respondent's then employing dealer) upon him for the same conduct described above, NASD has determined to credit the Respondent with 20 calendar days of the foregoing suspension. Accordingly, the Respondent is required to serve 40 calendar days of the foregoing suspension.
  
3. That the AWC found:

Between December 11, 1998 and January 18, 2004, while registered with AEFA, the Respondent affixed customer signatures of eleven individuals to twelve separate documents concerning financial planning services. The documents included Financial Advisory Service Agreements (3); Financial Planning Services Delivery Extension Forms (5); Asset Allocation Delivery Assurance Form (1); and Western Union Money Orders (3). The aforementioned conduct constitutes separate and distinct violations of NASD Conduct Rule 2110 by the Respondent.
  
4. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson and investment adviser representative may be revoked if the Secretary of State finds that such Salesperson or investment adviser representative 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 NASD is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.
  
6. The Respondent's registration as a salesperson and investment adviser representative in the State of Illinois is subject to revocation pursuant to Section 8.E(1)(j) 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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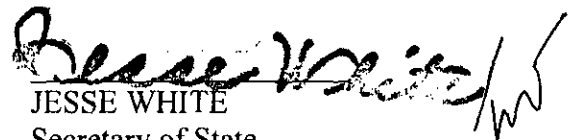
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Furthermore, you may be represented by legal counsel; may present evidence; may cross-examine witnesses and otherwise participate. A failure to so appear shall constitute default, unless any Respondent has upon due notice moved for and obtained a continuance.

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 19<sup>th</sup> day of March 2007

  
JESSE WHITE  
Secretary of State  
State of Illinois

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Illinois Securities Department  
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Hearing Officer:  
James L. Kopecky  
321 North Clark Street  
Chicago, Illinois 60610