

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

IN THE MATTER OF: THOMAS C. HOCK

)
) FILE NO. 0600542
)

SUMMARY ORDER OF DENIAL

TO THE RESPONDENT: Thomas C. Hock (CRD#: 708167)
4201 E. Wyndemere Circle
Schnecksville, Pennsylvania 18078

C/o WRP Investments, Inc.
4407 Belmont Avenue
Youngstown, Ohio 44505

WHEREAS, on September 12, 2006, WRP Investments, Inc., a registered dealer, filed a Form U-4 application for registration of Thomas C. Hock (the "Respondent") as a salesperson in the State of Illinois;

WHEREAS, pursuant to the authority granted under Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act"), the Secretary of State has determined that the Respondent's application for registration as a salesperson in the State of Illinois is subject to a Summary Order of Denial;

WHEREAS, the Secretary of State finds that the grounds for such Summary Order of Denial are as follows:

1. That on November 15, 2005 NASD entered a Letter Of Acceptance, Waiver And Consent (AWC) submitted by the Respondent regarding File No. 2005000537201 which sanctioned the Respondent as follows:

- a. suspension from association in any capacity with any member of NASD for a period of one month; an
- b. fined \$10,000.

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2. That the AWC found: The Respondent was associated with National Planning Corporation from November 1999 to November 2404 and was registered with NASD as a Principal.
 - a. In or about July 2000, the Respondent solicited an application by R.K. and A.K. for a second-to-die policy of variable life insurance. The policy was intended for estate planning purposes, and the owners and beneficiaries of the policy were their daughters B.A.S. and B.M. S. After receiving the application, the Respondent became uncertain whether the fact that one of the owner's resided In Florida would require him to be licensed in that state. He altered the application to change the listed address of B.M.S. from her actual residence in Florida to her parent's Pennsylvania address and then he submitted the altered application to the insurance company.
 - b. The aforesaid conduct is inconsistent with high standards of commercial honor and just and equitable principles of trade and constitutes a violation of NASD Conduct Rule 2110 by the Respondent.
3. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson may be denied 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.
4. That the NASD is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.
5. That by virtue of the foregoing, the Respondent's registration as a salesperson in the State of Illinois is subject to denial pursuant to Section 8.E(1)(j) of the Act.

NOW IT IS HEREBY ORDERED THAT:

The Respondent's application for registration as a salesperson in the State of Illinois is DENIED, subject to the further Order of the Secretary of State.

A public hearing will be set within thirty (30) days of the Respondent's filing a written request for hearing with the Secretary of State at 69 west Washington Street, Suite 1220, Chicago, Illinois 60602. Said hearing will be held at the aforesaid address before a Hearing Officer duly designated by the Secretary of State. A copy of the Rules under the Act pertaining to contested cases is attached to this Order.

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YOUR FAILURE TO REQUEST A HEARING WITHIN THIRTY (30) DAYS AFTER RECEIPT OF THIS ORDER SHALL CONSTITUTE AN ADMISSION OF ANY FACTS ALLEGED HEREIN AND SHALL CONSTITUTE A SUFFICIENT BASIS TO MAKE THIS ORDER FINAL.

You are further notified that if you request a hearing that you may be represented by legal counsel, may present evidence; may cross-examine witnesses and otherwise participate. Failure to so appear shall constitute default, unless any Respondent has upon due notice moved for and obtained a continuance.

Delivery of this Order or any subsequent notice to the designated representative of any Respondent constitutes service upon such Respondent,

ENTERED: This 26th day of October 2006.



JESSE WHITE
Secretary of State
State of Illinois

Attorney for the Secretary of State:
Daniel A. Tunick
Office of the Secretary of State
Illinois Securities Department
69 West Washington Street, Suite 1220
Chicago, Illinois 60602
Telephone: (312) 793-3384