

Notice of Hearing

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that she had failed to effectively respond to the Department of Revenue and warning of the possible negative effect on her registration. Respondent was required to explain the situation, and Respondent's efforts to resolve it, in a notarized affidavit to the Securities Department within 10 business days of the date on which the letter was delivered.

5. On January 12, 2015, the certified letter was delivered to Respondent at her office.
6. On January 28, 2015, the Securities Department sent a fax to Respondent's office, informing Respondent that she had failed to respond to the Securities Department letter within 10 business days of receipt of the letter and warning that enforcement action would be taken if her affidavit was not delivered by January 30, 2015.
7. On the same day, Respondent requested a copy of the letter and it was provided via email with another reminder that her affidavit had to be delivered by January 30, 2015.
8. The Respondent failed to provide the affidavit.
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 salesperson may be suspended or revoked if it has violated any of the provisions of this Act.
12. Section 8.E(1)(o) provides that the registration of a salesperson may be denied, suspended or revoked if the Secretary of State finds that such salesperson 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 Act administered by the Illinois Department of Revenue, until such time as the requirements of that Act are satisfied.
13. Section 11.E(4) of the Act provides, *inter alia*, that the Secretary of State, after finding that any provision of the Act has been violated, may issue an order of censure, charge costs of investigation, and impose a fine not to exceed \$10,000 for each violation of the Act.

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14. Section 11.F(1) of the Act provides, *inter alia*, that the Secretary of State may suspend or revoke the registration of a salesperson and impose a fine for violation of the Act after an opportunity for hearing upon not less than 10 days notice given by personal service or registered mail or certified mail, return receipt requested, to the person or persons concerned.
15. By virtue of the foregoing, the Respondent is subject to a fine of up to \$10,000 per violation, an order of censure, and an order that suspends or revokes her registration as a salesperson in the State of Illinois pursuant to Sections 8 and 11 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 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.

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

ENTERED: This 2nd day of February, 2015.



JESSE WHITE
Secretary of State
State of Illinois

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Hearing Officer:

Jon K. Ellis