

Consent Order

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4. On or about January 8, 2015, the Office of the Secretary of State, Illinois Securities Department sent a letter to the Respondent via certified mail notifying the Respondent 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's 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 February 2, 2015, the Securities Department issued a Notice of Hearing.
8. On May 14, 2015, Respondent provided the affidavit to the Securities Department.
9. On June 15, 2015, Respondent reached an agreement with the Department of Revenue.
10. 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.
11. Section 8.E(1)(g) of the Act provides that the registration of a salesperson may be suspended or revoked if the salesperson 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.

WHEREAS, the Respondent has acknowledged that the allegations contained in paragraph VIII of the Stipulation shall be adopted as the Secretary of State's Conclusions of Law as follows:

15. By virtue of the foregoing, Respondent has committed a violation of Section 12.D of the Act.
16. By virtue of the foregoing, Respondent's registration is subject to suspension or revocation pursuant to Sections 8.E.1(g) and (o) of the Act.
17. By virtue of the foregoing, Respondent is subject to a fine, 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.

NOW THEREFORE IT IS HEREBY ORDERED THAT:

18. The allegations contained in Paragraphs VII and VIII of the Stipulation shall be and are hereby adopted as the Secretary of State's Findings of Fact and Conclusions of Law.
19. Respondent, Dawn S. Hines, will make a monetary payment in the amount of two hundred dollars (\$200) to the Illinois Secretary of State for deposit in the Securities Audit and Enforcement Fund. The check will, within ten business days of entry of the Consent Order, be mailed to the Illinois Securities Department, 300 W. Jefferson St., Suite 300A, Springfield, Illinois 62702.
20. Respondent, Dawn S. Hines, will be Censured.
21. Respondent, Dawn S. Hines, will cease and desist from conduct in violation of the Act.
22. Respondent, Dawn S. Hines, will comply with the terms and conditions set forth in the agreement with the Department of Revenue.
23. The Department will retain jurisdiction over this proceeding for the sole purpose of enforcing the terms and provisions stated herein.

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24. The formal hearing scheduled on this matter is hereby dismissed without further proceeding.

ENTERED: This 16th day of June, 2015



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