

STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT

IN THE MATTER OF: JUDITH RIMKUS, CRD # 1637450

) File No. 1600021
)

CONSENT ORDER

TO THE RESPONDENT: Judith Rimkus
H. Beck, Inc.
100 S. York Rd., Ste 226
Elmhurst, IL 60126

H. Beck, Inc.
Attn: Vanessa Robinson, Dir. of Licensing
6600 Rockledge Dr., 6th Fl.
Bethesda, MD 20817

WHEREAS, the Respondent, Judith Rimkus, on March 25, 2016 executed a certain Stipulation to Entry of Consent Order (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, the Respondent has admitted to the jurisdiction of the Secretary of State, service of the Notice of Hearing in this matter, and consented to the entry of this Consent Order.

WHEREAS, the Secretary of State, by and through his designated representative, the Securities Director, has determined that the matter related to the aforesaid formal hearing may be dismissed without further proceeding.

WHEREAS, the Respondent has acknowledged that the allegations contained in paragraph VII of the Stipulation shall be adopted as the Secretary of State's Findings of Fact as follows:

1. At all relevant times, Respondent was registered with the Secretary of State as a salesperson in the State of Illinois pursuant to Section 8 of the Act.
2. Respondent is currently a registered representative at H. Beck, Inc., a dealer registered in the State of Illinois pursuant to Section 8 of the Act.

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3. On or about October 8, 2015, the Illinois Department of Revenue sent a Collection Action Notice of Intent letter to Respondent's home address. The letter advised that, if Respondent did not resolve her debt owed to the Department of Revenue, her salesperson license would be suspended and provided contact information for the Department of Revenue.
4. On or about February 4, 2016, the Office of the Secretary of State, Illinois Securities Department sent a letter to Respondent via certified mail notifying her 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 February 25, 2016, the Securities Department contacted a representative of H. Beck, informing the firm that Respondent had failed to pick up the Securities Department letter from the post office and warning that enforcement action would be taken if her affidavit was not delivered to the Securities Department within ten business days. A copy of the letter was also provided to the firm.
6. On February 28, 2016, the Respondent accepted delivery of the certified letter.
7. At least as of February 28, 2016, Respondent owed the Department of Revenue a balance for her 2014 individual income taxes.
8. On March 21, 2016, the Securities Department received Respondent's affidavit.
9. On or about March 24, 2016, the Department of Revenue issued a release to the Securities Department, stopping collection efforts in acknowledgment of Respondent's payment of her debt.
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, *inter alia*, that the registration of a salesperson or investment adviser representative may be denied, suspended, or revoked if the salesperson or investment adviser representative has violated any of the provisions of this Act.
12. Section 8.E(1)(o) provides, *inter alia*, that the registration of a salesperson or investment adviser representative may be denied, suspended, or revoked if the Secretary of State finds that such salesperson or investment adviser representative has

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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.
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 or investment adviser representative 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, 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 in the State of Illinois pursuant to Sections 8 and 11 of the Act.

NOW THEREFORE IT IS HEREBY ORDERED THAT:

16. Respondent will make a monetary payment, within ten business days from the entry of the Consent Order, in the total amount of one hundred fifty dollars (\$150) to the Illinois Secretary of State for deposit in the Securities Audit and Enforcement Fund. The payment will be mailed to the Illinois Securities Department, 421 E. Capitol Ave., 2nd Fl., Springfield, Illinois 62701 and include a cover letter referencing File No. 1600021.
17. Respondent is Censured.
18. The Department will retain jurisdiction over this proceeding for the sole purpose of enforcing the terms and provisions stated herein.
19. The formal hearing scheduled on this matter is hereby dismissed without further proceeding.

ENTERED: This 20th day of March, 2016.

A handwritten signature in cursive script that reads "Jesse White". To the right of the signature is a circular stamp or seal, partially obscured by the end of the signature.

JESSE WHITE
Secretary of State
State of Illinois

Attorney for the Secretary of State:

Shannon Bond
Illinois Securities Department
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