

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

\_\_\_\_\_)  
IN THE MATTER OF: Thomas Joseph Logue, Jr. )  
and Logue Financial Planning d/b/a Thomas Joseph ) FILE NO. 1700643  
Logue, Jr. )  
\_\_\_\_\_)

**NOTICE OF HEARING**

**TO THE RESPONDENT:**

Thomas Joseph Logue, Jr.  
(CRD 1700554)  
15 Spinning Wheel Drive  
Hinsdale, Illinois 60531

Logue Financial Planning  
d/b/a Thomas Joseph Logue, Jr.  
(CRD 123956)  
15 Spinning Wheel Drive  
Hinsdale, Illinois 60531

You are hereby notified that pursuant to Section 11.E of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act") and 14Ill. Adm. Code 130, Subpart K, a public hearing will be held at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602, on the 12th day of September 2019, at the hour of 10:00 a.m., or as soon as possible thereafter, before James L. Kopecky, Esq. or such duly designated Hearing Officer of the Secretary of State.

Said hearing will be held to determine whether an Order shall be entered which would revoke the registration of Thomas Joseph Logue, Jr. ("Logue") as an Investment Adviser Representative and Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. ("LFP") as an Investment Adviser in the State of Illinois; and prohibit the Respondents from offering or selling securities and from the business of rendering investment advice in and from the State of Illinois until the further Order of the Secretary of State 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 of the Act, payable within ten (10) business days of the entry of the Order.

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The grounds for such proposed action are as follows:

1. That during the relevant time period, Respondent Logue was employed as an investor adviser representative by Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. ("LFP").
2. That Respondent LFP was registered in Illinois as an Investment Adviser ("CRD # 123956") from May 15, 2002 through December 31, 2017 except for the period January 1, 2016 through January 14, 2016. Respondent Logue was its sole owner and principal.
3. That Respondent Logue was registered in Illinois as an Investment Adviser Representative ("CRD # 1700554") from May 15, 2002 through December 31, 2017 except for the period January 1, 2016 through January 14, 2016.
4. That Respondent Logue was last registered as a sales representative in Illinois on June 26, 2017.
5. That on September 14, 2018 FINRA and Respondent Logue entered into a Letter of Acceptance, Waiver, and Consent (the "AWC") which permanently barred Respondent Logue from association with any FINRA member in any capacity for violating FINRA Rules 8210 and 2010.
6. That the Decision found that Logue violated NASD Rules by:  
  
Refusing to appear for on-the-record testimony required by FINRA during its examination of Logue's trading activities. Respondent's action violated FINRA Rules 8210 and 2010.
7. That Section 8.E (1)(j) of the Act provides, *inter alia*, that the registration of an investment adviser or an investment adviser representative may be revoked if the Secretary of State finds that such investment adviser 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.
8. That the FINRA is a self-regulatory organization as specified in Section 8.E (1)(j) of the Act.
9. That Section 8.E (3) of the Act provides, *inter alia*, that the Secretary of State may institute a revocation proceeding within two years after withdrawal became effective and enter a revocation order as of the last date on which registration was effective.

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10. That by virtue of the foregoing, the registration of Respondent LFP as an investment adviser and the registration of Respondent Logue in the State of Illinois is subject to revocation effective December 31, 2017 pursuant to Sections 8.E (1)(g) and 8.E (3) of the Act.
11. That on or about November 1, 2017 and pursuant to the authority granted in Sections 11.C and 11.D of the Act, the Department issued a Subpoena, executed by the Secretary of State, directing Respondent Logue to deliver specified documents to the Department by November 23, 2017.
12. Respondent Logue failed to deliver the subpoenaed documents as required by the Subpoena.
13. Section 12.D of the Act provides, *inter alia*, that it shall be a violation 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.
14. By virtue of the foregoing, Respondent violated Section 12.D of the Act by not filing documents and continues to violate the Act by, to this date, not filing said documents with Secretary of State.
15. That Section 11.E(2) of the Act provides, inter alia, that if the Secretary of State shall find that any person has violated subsection D of Section 12 of the Act, the Secretary of State may by written order prohibit the person from offering or selling any securities in this State.
16. That Section 11.E(4) of the Act provides, inter alia, that if the Secretary of State, after finding that any provision of the Act has been violated, may impose a censure and/or fine as provided by rule, regulation or order not to exceed \$10,000.00 for each violation of the Act.
17. That by virtue of the foregoing, the Respondents are subject to a fine of up to \$10,000.00 per violation, censure and an order which permanently prohibits the Respondents from offering or selling securities in the State of Illinois.

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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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.

The Rules promulgated under the Act and pertaining to Hearings held by the Office of the Secretary of State, Securities Department may be viewed online at <http://www.cyberdriveillinois.com/departments/securities/lawrules.html>.

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

Dated: This 16<sup>th</sup> day of July 2019



JESSE WHITE  
Secretary of State  
State of Illinois

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Illinois Securities Department  
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Hearing Officer:  
James L. Kopecky  
**KOPECKY, SCHUMACHER & BLEAKLEY, P.C.**  
120 N. LaSalle St. Suite 2000  
Chicago, IL 60602  
312-380-6552