

**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.))
_____))

Consent Order of Prohibition and Revocation

TO THE RESPONDENT: Thomas Joseph Logue, Jr.
(CRD 1700554)
817 Jefferson Street
Hinsdale, Illinois 60521

Logue Financial Planning
d/b/a Thomas Joseph Logue, Jr.
(CRD 123956)
817 Jefferson Street
Hinsdale, Illinois 60521

WHEREAS, Respondents on the 6th day of December 2019 executed a certain Stipulation to Enter Consent Order (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, the Respondents have admitted to the jurisdiction of the Secretary of State and service of the Amended Notice of Hearing of the Secretary of State, Securities Department, dated August 21, 2019, in this proceeding (the "Notice") and Respondents have consented to the entry of the Consent Order.

WHEREAS, by means of the Stipulation, the Respondents acknowledge, admitting the truth thereof, that the following allegations contained in the Notice of Hearing shall be adopted as the Secretary of State's Findings of Fact:

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- a. 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").
- b. 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.
- c. 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.
- d. That Respondent Logue was last registered as a sales representative in Illinois on June 26, 2017.
- e. 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.
- f. 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."
- g. 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.
- h. That the FINRA is a self-regulatory organization as specified in Section 8.E (1)(j) of the Act.

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- i. 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.

WHEREAS, by means of the Stipulation, the Respondents acknowledge that the following shall be adopted as the Secretary of State's Conclusion of Law:

That by virtue of the foregoing, the registration of Respondent LFP as an investment adviser and the registrations of Respondent Logue as an investment Adviser Representative and as a sales representative 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.

WHEREAS, by means of the Stipulation, the Respondents acknowledge and agree that Respondent Thomas Joseph Logue, Jr. and Respondent Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. shall be **Prohibited** in whatever capacity from offering or selling any securities in the State of Illinois.

WHEREAS, by means of the Stipulation, Respondents acknowledge and agree that Respondent Thomas Joseph Logue, Jr. and Respondent Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. shall be **Prohibited** in whatever capacity from acting as an investment adviser or investment adviser representative in the State of Illinois.

WHEREAS, by means of the Stipulation, Respondents acknowledge and agree that the registration of Respondent Thomas Joseph Logue, Jr. as a salesperson in the State of Illinois shall be **Revoked**.

WHEREAS, by means of the Stipulation, Respondents acknowledge and agree that the registration of Respondent Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. as an investment adviser shall be **Revoked** effective December 31, 2017.

WHEREAS, by means of the Stipulation, Respondents acknowledge and agree that the registration of Respondent Thomas Joseph Logue, Jr. as an investment adviser representative shall be **Revoked** effective December 31, 2017.

WHEREAS, by means of the Stipulation, Respondents acknowledge and agree that the Illinois Securities Department on behalf of the Secretary of State shall maintain its right to take action on any pending security complaints involving the Respondents whether known or unknown by the Illinois Securities Department as of the date of this agreement.

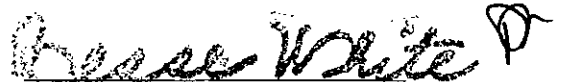
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NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED:

1. That Respondent Thomas Joseph Logue, Jr. and Respondent Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. are hereby **Prohibited** in whatever capacity from offering or selling any securities in the State of Illinois.
2. That Respondent Thomas Joseph Logue, Jr. and Respondent Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. are hereby **Prohibited** in whatever capacity from acting as an investment adviser or investment adviser representative in the State of Illinois.
3. That the registration of Respondent Thomas Joseph Logue, Jr. as a salesperson in the State of Illinois is hereby **Revoked**.
4. That the registration of Respondent Logue Financial Planning d/b/a Thomas Joseph Logue, Jr. as an investment adviser is hereby **Revoked** effective December 31, 2017.
5. That the registration of Respondent Thomas Joseph Logue, Jr. as an investment adviser representative is hereby **Revoked** effective December 31, 2017.
6. That the Illinois Securities Department on behalf of the Secretary of State shall maintain its right to take action on any pending securities complaints involving the Respondents.

DATED: This 12th day of December 2019.



JESSE WHITE
Secretary of State
State of Illinois

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