

STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT

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IN THE MATTER OF: ANTHONY G. PETERSON

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)  
) FILE NO. 0400574  
)

ORDER OF REVOCATION

TO THE RESPONDENT: Anthony G. Peterson, CRD NO. 1902189  
3201 Country Bend Lane  
Champaign, Illinois 61822

WHEREAS, the record of the above-captioned matter has been reviewed by the Secretary of State or his duly authorized representative;

WHEREAS, the rulings of the Hearing Officer on the admission of evidence and all motions are deemed to be proper and are hereby concurred with by the Secretary of State;

WHEREAS, the proposed Findings of Facts and Conclusions of Law and Recommendation of the Hearing officer, John K. Ellis, in the above-captioned matter have been read and examined; and

WHEREAS, the proposed Findings of Fact are correct and are adopted by the Secretary of State as follows:

1. At all relevant times, the Respondent was registered with the Secretary of State as a salesperson in the State of Illinois pursuant to Section 8 of the Act until December 1, 2004.
2. On January 6, 2005, NASD entered an Order accepting Offer of Settlement submitted by the Respondent regarding Disciplinary Proceeding No. C8A050007 which imposed the following sanction: a permanent bar from association in any capacity, with any member of the NASD.

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3. The Order found that between approximately May 1998 and September 1999, Peterson engaged in outside business activities by receiving at least \$224,096 in compensation for selling viaticals. In connection therewith, Peterson failed and neglected to give prompt written notice of his engagement in such activities to the Member. Based on the foregoing, Respondent violated NASD Conduct Rules 2110 and 3030.
4. Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson may be revoked if the Secretary of State finds that such salesperson has been barred 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.
5. That NASD is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.
6. Section 8.E(3) of the Act provides, inter alia, withdrawal of an application for registration or withdrawal from registration as a salesperson, becomes effective 30 days after receipt of an application to withdraw or within such shorter period of time as the Secretary of State may determine. If no proceeding is pending or instituted and withdrawal automatically becomes effective, the Secretary of State may nevertheless institute a revocation or suspension proceeding within 2 years after withdrawal became effective and enter a revocation or suspension order as of the last date on which registration was effective.
7. By virtue of the foregoing, the Respondent's registration as a salesperson in the State of Illinois is subject to revocation pursuant to Section 8.E(1)(j) of the Act.

WHEREAS, the proposed Conclusions of Law are correct and are adopted by the Secretary of State as follows:

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1. After proper notification, the Complainant may proceed with a hearing in the Respondent's absence. (735 ILCS 5/1-105 and 5/2-1301; Ryan v. Bening, 1978, 22 Ill. Dec. 873, 66 Ill. App.3d 127, 383 N.E.2d 681; Koenig v. Nardullo, 1968, 99 Ill. App. 480, 241 N.E.2d 567) Significantly, the Notice of Hearing outlines that a default judgment may be entered against a Respondent who fails to appear or answer the charge(s).
2. That permanent bar from association in any manner in the NASD disciplinary action as detailed and documented in Department's exhibit No. 3 is a basis for disqualification under Section 8.E of the Act.
3. That by virtue of the foregoing the Respondent is subject to an Order of Revocation in the State of Illinois and or granting such other relief as may be authorized under the Act.
4. Because of the Findings of Fact and Conclusions of Law, the pleadings, the January 6, 2005 Order entered by the NASD regarding the Respondent's Disciplinary Proceeding No. C8A050007 admitted as Secretary of State Exhibit No. 3, as well as the fact that the Respondent failed to answer the charges or appear at the hearing, the entry of a written Order of Revocation pursuant to Section 8.E(1) of the Act, which revokes the Respondent as a securities salesperson is proper in this matter.

WHEREAS, the proposed Recommendation of the Hearing Officer is adopted by the Secretary of State.

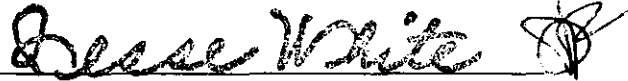
NOW THEREFORE IT IS HEREBY ORDERED: That pursuant to the foregoing Findings of Fact, Conclusions of Law, and the Recommendation of the Hearing Officer:

1. The Respondent's registration as a Securities Salesperson is Revoked as of the last date that which registration was effective in the State of Illinois.

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ENTERED: This 20th day of December, 2005



JESSE WHITE  
Secretary of State  
State of Illinois

NOTICE: Failure to comply with the terms of this Order shall be a violation of Section 12.D of the Illinois Securities Law of 1953, as amended, 815 ILCS 5/1 et seq. (the "Act"). Any person or entity who fails to comply with the terms of this Order of the Secretary of State, having knowledge of the existence of this Order, shall be guilty of a Class 4 felony.

This is a final order subject to administrative review pursuant to the Administrative Review Law, 735 ILCS 5/3-101 et seq. and the Rules and Regulations of the Act (14 Ill. Admin. Code, Ch. I, Sec. 130.1123). Any action for judicial review must be commenced within thirty-five (35) days from the date a copy of this Order is served upon the party seeking review.

Attorney for the Secretary of State:  
David Finnigan  
Illinois Securities Department  
520 South Second Street  
Springfield, Illinois 62701  
Telephone: (217) 785-4947