

STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT

IN THE MATTER OF: JOHN F. HELBOCK)

FILE NO. 0500346

NOTICE OF HEARING

TO THE RESPONDENT: John F. Helbock
(CRD #: 1593811)
28 Ely Drive
Holmdel, New Jersey 07733

C/o Jersey Shore Trading Group Inc.
54 Broad Street Suite 201
Red Bank, New Jersey 07701

You are hereby notified that pursuant to Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act") and 14 Ill. Adm. Code 130, Subpart K, a public hearing will be held at 69 West Washington Street, Suite 1220, Chicago, Illinois 60602, on the 14th day of June, 2006 at the hour of 10:30 a.m. or as soon as possible thereafter, before James L. Kopecky Esq., or such other duly designated Hearing Officer of the Secretary of State.

Said hearing will be held to determine whether an Order shall be entered revoking John F. Helbock's (the "Respondent") registration as a salesperson in the State of Illinois 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(4) of the Act, payable within ten (10) business days of the entry of the Order.

The grounds for such proposed action are as follows:

1. That 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. He also serves in the capacity of Illinois Designated Principal for Jersey Shore Trading Group Inc.

2. That on June 6, 2005, NASD entered a Letter Of Acceptance, Waiver And Consent (AWC) submitted by the Respondent regarding File No C9B050038 which sanctioned the Respondent as follows:
 - a. fined 15,000 which is assessed jointly and severally with another entity; and
 - b. suspended from association with any NASD member firm in any principal or supervisory capacity for thirty (30) business days.

3. That the AWC listed the following background information: Jersey Shore has been a member of NASD since on or about November 15, 1999. Jersey Shore conducts a general securities business. Jersey Shore employs approximately 15 registered persons. In or about July 2004, Jersey Shore was censured and fined \$7,500 for trade reporting violations. The Respondent became registered with NASD as a Series 7 general securities representative on or about November 15, 1986. Subsequently, he obtained Series 4, 24, 55 and 63 licenses. From in or about November 1999 through the present, he has been associated with Jersey Shore. While associated with Jersey Shore, he has served as its President. Prior to his association with Jersey Shore, he was associated with several other NASD member firms.

4. That the AWC found:
 - a. At various times from in or about September 2003 through in or about July 2004, Jersey Shore, acting through the Respondent, permitted JH, a statutorily disqualified person as defined under the Securities and Exchange Act of 1934 and Article III of the NASD By-Laws, to be associated with and conduct activities on behalf of the firm. As a result of such conduct, Jersey Shore and the Respondent violated NASD Conduct Rule 2110;

 - b. A review of seventy-three (73) order tickets for equity and municipal transactions executed by the firm between March 1, 2004 and May 31, 2004, revealed the following deficiencies:
 - i. There was no time of receipt and/or an inaccurate time of receipt recorded for seventeen (17) transactions;

 - ii. Time stamps were illegible for four (4) transactions;

- iii. There was no time of receipt stamped, no affirmative determination made, and the price terms of the order were not clearly identified for nine (9) transactions;
 - iv. There was no affirmative determination made and the price terms of the order were not clearly identified for two (2) transactions;
 - v. There was no time of order entry, or time of receipt stamped on the order ticket; in addition, there was no affirmative determination made for one (1) transaction;
 - vi. There was no time of receipt stamped or affirmative determination made for one (1) transaction;
 - vii. The price terms of the order were not clearly identified for one (1) transaction; and
 - viii. There was no time of receipt stamped, no affirmative determination specified, the limit price was not clearly distinguished from the execution price, and the number of shares executed was incorrectly recorded for one (1) transaction. As a result of such conduct, Jersey Shore violated MSRB Rule G-8, NASD Conduct Rules 2110, 3110 and 3370 and SEC Rules 17a-3 and 17a-4; and
- c. A review of twenty-six (26) municipal transactions executed by the firm between January 1, 2004 and March 31, 2004, revealed that three (3) of the trades or 11.5% were reported late by the firm. As a result of such conduct, Jersey Shore violated MSRB Rules G-14 and G-27.
5. That 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 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.

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6. That NASD is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.
7. That 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.

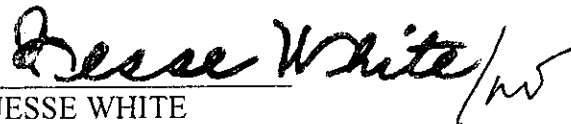
You are further notified that you are required pursuant to Section 130.1104 of the Rules and Regulations (14 ILL. Adm. Code 130)(the "Rules"), to file an answer to the allegations outlined above within thirty (30) days of the receipt of this Notice. A failure to file an answer within the prescribed time shall be construed as an admission of the allegations contained in the Notice of Hearing.

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.

A copy of the Rules, promulgated under the Act and pertaining to hearings held by the Office of the Secretary of State, Securities Department, is included with this Notice.

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

Dated: This 27th day of April 2006.

Handwritten signature of Jesse White in cursive script, followed by a horizontal line and the initials "JW".

JESSE WHITE
Secretary of State
State of Illinois

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Attorney for the Secretary of State:
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Hearing Officer:
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