

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

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IN THE MATTER OF: THOMAS C. HOCK )  
\_\_\_\_\_) )

FILE NO. 0600542

**ORDER OF DENIAL**

TO THE RESPONDENT:

Thomas C. Hock (CRD#: 708167)  
4201 E. Wyndemere Circle  
Schnecksville, Pennsylvania 18078

C/o WRP Investments, Inc.  
4407 Belmont Avenue  
Youngstown, Ohio 44505

WHEREAS, a Summary Order of Denial was issued by the Secretary of State on October 24, 2006, which denied Thomas C. Hock's (the "Respondent") application for registration as a salesperson in the State of Illinois until further order from the Secretary of State.

WHEREAS, pursuant to Section 11.F of the Illinois Securities Law of 1953 [815 ILCS 5] (the "Act"), the failure to request a hearing within thirty (30) calendar days of the entry of a Summary Order shall constitute an admission of any facts alleged therein and constitute a sufficient basis to make the Summary Order final.

WHEREAS, the Respondent has failed to request a hearing on the matters contained in the Summary Order within thirty (30) calendar days of the entry of said Summary Order and the Respondent is hereby deemed to have admitted the facts alleged in the said Summary Order.

WHEREAS, the Secretary of State, by and through his duly authorized representative, has adopted the Findings of Fact contained in the said Summary Order as the Secretary of State's Findings of Fact as follows:

1. That on November 15, 2005 NASD entered a Letter Of Acceptance, Waiver And Consent (AWC) submitted by the Respondent regarding File No. 2005000537201 which sanctioned the Respondent as follows:

Order of Denial

2

- a. suspension from association in any capacity with any member of NASD for a period of one month; and
  - b. fined \$10,000.
2. That the AWC found: The Respondent was associated with National Planning Corporation from November 1999 to November 2004 and was registered with NASD as a Principal.
  - a. In or about July 2000, the Respondent solicited an application by R.K. and A.K. for a second-to-die policy of variable life insurance. The policy was intended for estate planning purposes, and the owners and beneficiaries of the policy were their daughters B.A.S. and B.M. S. After receiving the application, the Respondent became uncertain whether the fact that one of the owner's resided in Florida would require him to be licensed in that state. He altered the application to change the listed address of B.M.S. from her actual residence in Florida to her parent's Pennsylvania address and then he submitted the altered application to the insurance company.
  - b. The aforesaid conduct is inconsistent with high standards of commercial honor and just and equitable principles of trade and constitutes a violation of NASD Conduct Rule 2110 by the Respondent.
3. That Section 8.E(1)(j) of the Act provides, inter alia, that the registration of a salesperson may be denied 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.
4. That the NASD is a self-regulatory organization as specified in Section 8.E(1)(j) of the Act.

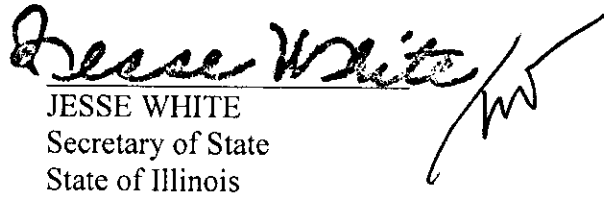
Order of Denial

3

5. That by virtue of the foregoing, the Respondent's registration as a salesperson in the State of Illinois is subject to denial pursuant to Section 8.E(1)(j) of the Act.

NOW IT IS HEREBY ORDERED THAT: Thomas C. Hock's application for registration as a salesperson in the State of Illinois is DENIED.

ENTERED: This 9<sup>th</sup> day of January 2007.

  
JESSE WHITE  
Secretary of State  
State of Illinois

NOTICE: 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. 1., Sec. 130.1123). Any action for judicial review must be commenced within thirty-five days from the date a copy of this Order is served upon the party seeking review.