BEFORE THE
DIVISION OF SECURITIES
DEPARTMENT OF FINANCIAL INSTITUTIONS
STATE OF WISCONSIN

In the Matter of

ELLEN M. ALESHIRE

Respondent.

PETITION FOR ORDER

File No. S-01267(LX)

The staff of the Licensing & Compliance Bureau and the Enforcement Unit, Registration & Enforcement Bureau, of the Division of Securities, Department of Financial Institutions, State of Wisconsin have conducted an investigation in this matter pursuant to sec. 551.56, Wis. Stats., and as a result thereof allege as follows:

1. Ellen M. Aleshire ("Aleshire") (CRD #2411031) is a securities agent with Peregrine Financials & Securities, Inc. ("Peregrine") (CRD 43992) with a last known home address of 18975 West State Line Road, Antioch, Illinois 60002;

2. On July 3, 2001, Aleshire applied through the CRD to become licensed in Wisconsin as a securities agent;

3. On July 3, 2001, the staff sent a request to Christopher Wurtzinger ("Wurtzinger") of Peregrine with a carbon copy to Aleshire requesting documents relating to the disciplinary items that appear on Aleshire’s CRD record. A date of July 23, 2001 was set for these documents to be filed;

4. On July 27, 2001, the staff sent a reminder letter to Wurtzinger with a carbon copy to Aleshire requesting a response by August 19, 2001;

5. The staff received telephone calls from Wurtzinger requesting extensions and making promises of overnight deliveries.

6. On September 4, 2001, the staff sent a letter by certified mail to Wurtzinger (with a copy to Aleshire) again asking the firm to provide documents relating to the agent’s disciplinary items or withdraw the application by September 18, 2001. The staff has not received the information that was requested nor has a U5 been filed;

7. The failure of Aleshire to complete her application, as described above, provides a basis, pursuant to sec. 551.34(1)(a), Wis. Stats for the denial of her license application.

THEREFORE, the staff of the Licensing & Compliance Bureau and the Enforcement Unit petition the Administrator for the issuance of the attached Order.

DATED this 21st day of November, 2001.

David A. Cohen
Supervising Attorney
Enforcement Unit

Nancy R. Jackson
Licensing Examiner
Licensing & Compliance Bureau