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

In the Matter of
GEORGE JOSEPH MARES, JR.
Respondent.

PETITION FOR ORDER
File No. S-01175(L)

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. **George Joseph Mares, Jr.** ("Mares") (CRD #2021837) is currently a licensed securities agent with MONY Securities Corporation (CRD 4386) with a last known home address of 2425 South 11th Avenue, North Riverside, Illinois 60546;

2. On April 17, 2001, Mares applied through the CRD to become licensed in Wisconsin as a securities agent;

3. On April 17, 2001, the staff sent a request to John Norton ("Norton") of MONY Securities Corporation requesting documents relating to the disciplinary items that appear on Mares’ CRD record. The staff requested those items be filed by May 1, 2001 or the staff would ask the Administrator to deny Mares’ application;

4. On May 29, 2001, the staff sent a reminder letter to Norton with a carbon copy to Mares at his branch office address of 700 Commerce Drive #430, Oakbrook, Illinois requesting a response by June 8, 2001;

5. On June 21, 2001, the staff sent a letter by certified mail to Norton with a carbon copy to Mares and signed for on June 26, 2001 again asking the firm to provide documents relating to the agent’s disciplinary items or withdraw Mares’ application by July 11, 2001;

6. To date, the staff has not received the information that was requested;

7. The failure of Mares to complete his application, as described above, provides a basis, pursuant to sec. 551.34(1)(a), Wis. Stats for the denial of his 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 9th day of August, 2001.

[Signature]
David A. Cohen
Supervising Attorney
Enforcement Unit

[Signature]
Nancy R. Jackson
Licensing Examiner
Licensing & Compliance Bureau