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

In the Matter of
ALAN T. RODRIGUEZ

Respondent.

PETITION FOR ORDER

File No. S-01177(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. Alan T. Rodriguez ("Rodriguez") (CRD #1592580) is currently a licensed securities agent with Birkelbach Investment Securities, Inc. (CRD 11490) with a last known home address of 4224 Howard Avenue, Western Springs, Illinois 60558;

2. On April 27, 2001, Rodriguez applied through the CRD to become licensed in Wisconsin as a securities agent;

3. On May 1, 2001, the staff sent a request to Carl Birkelbach ("Birkelbach") of Birkelbach Investment Securities, Inc. requesting documents relating to the disciplinary items that appear on Rodriguez’s CRD record. A date of May 15, 2001 was set for these documents to be filed;

4. On May 29, 2001, the staff sent a reminder letter to Birkelbach with a carbon copy to Rodriguez at the office address of 208 South LaSalle Street, Suite 1700, Chicago, Illinois 60604 requesting a response by June 8, 2001;

5. On June 6, 2001 the staff received a telephone call from Birkelbach requesting an extension to respond. The staff granted this request and a new deadline of June 29, 2001 was set;

6. On July 12, 2001, the staff sent a letter by certified mail to Birkelbach (with a copy to Rodriguez) again asking the firm to provide documents relating to the agent’s disciplinary items or withdraw the application by July 27, 2001. The staff has not received the information that was requested nor has a U5 been filed;

7. The failure of Rodriguez 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 16th day of August, 2001.

David A. Cohen
Supervising Attorney
Enforcement Unit

Nancy R. Jackson
Licensing Examiner
Licensing & Compliance Bureau