

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

In the Matter of
GEORGE H. JAMES

Respondent.

PETITION FOR ORDER

File No. S-02143(LX)

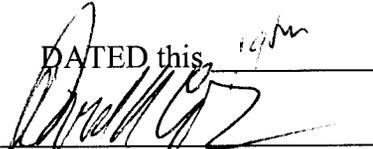
The staffs of the Licensing & Compliance and the Registration & Enforcement Bureaus, of the Division of Securities, Department of Financial Institutions, State of Wisconsin have conducted an investigation in this matter pursuant to sec. 551.56, Wis. Stats., and as a result thereof allege as follows:

1. George H. James ("James") (CRD #257031) is currently a licensed securities agent with Dirks & Company, Inc. (CRD 42185) with a last known home address of 900 Park Avenue;
2. On February 8, 2002, James applied through the CRD to become licensed in Wisconsin as a securities agent;
3. On February 12, 2002, the staff sent a request to Robert L. Goss ("Goss") of Dirks & Company, Inc., requesting documents relating to the disciplinary items that appear on James' CRD record. A date of March 5, 2002 was set for these documents to be filed;
4. On April 3, 2002, the staff sent a reminder letter to Goss with a carbon copy to James at his office address of 18 East 53rd Street, New York, New York 10022 requesting a response by April 17, 2002;
5. On April 15, 2002 the staff received a letter from Robert L. Goss. Goss indicated that enclosures included U4 information, copies of the mediation settlements, and a statement from James. The letter included the U4 information, but did not include the other documents;
6. On April 17, 2002, the staff sent a letter to Goss advising him that the enclosures were not complete and that this information must be provided to this office. A final date of May 1, 2002 was given for this information to be received by this office.
7. On June 5, 2002, the staff sent a letter by certified mail to Robert L. Goss (with a copy to James) again asking the firm to provide documents relating to the agent's disciplinary items. Both letters were received and signed for by P. Carr on June 11, 2002. The letter also advised that James' application was being referred for denial.

8. The failure of James 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 staffs of the Licensing & Compliance and the Registration & Enforcement Bureaus, petition the Administrator for the issuance of the attached Order.

DATED this 14th day of July, 2002.


David A. Cohen
Supervising Attorney
Enforcement Unit


Nancy R. Jackson
Licensing Examiner
Licensing & Compliance Bureau