

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

In the Matter of
DANIEL G. MULLEN

Respondent.

PETITION FOR ORDER

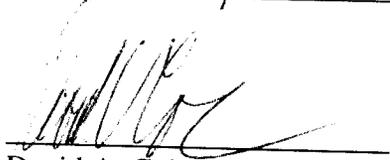
File No. S-05088(LX)

The staffs of the Licensing & Compliance Section and the Enforcement Unit, Registration & Enforcement Section, 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:

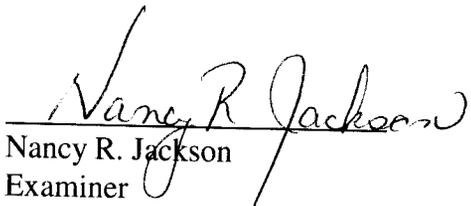
1. Daniel G. Mullen ("Mullen") is a securities agent (CRD #2553997) with a last known business address at Terra Nova Trading LLC, 100 South Wacker Drive, Chicago, Illinois 60606, and last known home address at 528 Windridge Drive, Chesterton, Indiana 46304;
2. On December 12, 2004, Mullen applied through the CRD to become licensed as a securities agent in Wisconsin with Terra Nova Trading LLC;
3. On December 20, 2004, the staff sent a letter addressed to Gayle Engberg at Terra Nova Trading LLC with a carbon copy to Mullen requesting additional information to supplement Mullen's application with a response date of January 10, 2005. No response was received to this request;
4. On February 8, 2005, the staff sent a second letter to the firm with a carbon copy to Mullen asking the firm to withdraw Mullen's application by February 14, 2005 and advising them that no extensions would be granted to this request. Mullen's application was not withdrawn;
5. On April 18, 2005, the staff sent a letter via certified mail to the firm with a carbon copy, also sent certified mail, to Mullen, this time at his home address, stating the firm must withdraw the application by April 25, 2005, or the staff would refer the application for denial;
6. Both certified mail receipts were returned to the staff signed that they were received at the addresses of record;
7. To date, the application has not been withdrawn;
8. The failure of Mullen's 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 Section and the Enforcement Unit petition the Administrator for the issuance of the attached Order.

DATED this 17th day of May, 2005.



David A. Cohen
Supervising Attorney
Enforcement Unit



Nancy R. Jackson
Examiner
Licensing and Compliance Bureau