

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

---

In the Matter of  
NEON LLC,  
LYNETTE K. HARTMAN,  
RICHARD L. HARTMAN, and  
BRIAN AUGENSTEIN,

PETITION FOR ORDER

Respondents.

File No. S-07085(EX)

---

The staff of the State of Wisconsin, Department of Financial Institutions, Division of Securities (hereinafter "the Division"), has conducted an investigation in this matter pursuant to sec. 551.56, Wis. Stats. and as a result thereof alleges as follows:

1. NEON LLC ("NEON") is a foreign business entity with a last known business address of 215 N. 19<sup>th</sup> Street, Beatrice, Nebraska 68310;
2. Lynette K. Hartman ("L. Hartman") is an individual who at all times material hereto has been an owner, officer and/or a controlling person of NEON, with a last known business address at that of NEON and a last known home address of 9326 E. Locust Road, Holmesville, Nebraska 68310-8538;
3. Richard L. Hartman ("R. Hartman") is an individual who at all times material hereto has been an owner, officer and/or a controlling person of NEON, with a last known business address at that of NEON and a last known home address of 9326 E. Locust Road, Holmesville, Nebraska 68310-8538;
4. Brian Augenstein ("Augenstein") is an individual who at all times material hereto has been an agent of NEON, L. Hartman and R. Hartman, with a last known business address at that of NEON;
5. During the period of July 2007, Augenstein, on behalf of NEON, L. Hartman and R. Hartman, offered to at least one person in Wisconsin interests in the stock of NEON;
6. The stock interests of NEON have never been registered for offer and sale in Wisconsin pursuant to Ch. 551, Wis. Stats.;
7. All Respondents have violated sec. 551.21(1), Wis. Stats., by offering unregistered securities to a person in Wisconsin;
8. In connection with the offer of the securities described above, Augenstein transacted business in Wisconsin as an "agent" for NEON, L. Hartman and R. Hartman, as that term is defined by sec. 551.02(2), Wis. Stats.;
9. At no time has Augenstein been licensed as a securities agent pursuant to Ch. 551, Wis. Stats.;
10. Augenstein has violated sec. 551.31(1), Wis. Stats., by transacting business in Wisconsin as a securities agent without a license; and

