

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

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In the Matter of  
WILLIAM GREGORY VINCENT

ORDER OF DENIAL OF  
SECURITIES AGENT LICENSE  
APPLICATION

(SUMMARY)

Respondent.

File No. S-08132 (LX)

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Based upon the attached Petition for Order, I find that this action is necessary and appropriate in the public interest and for the protection of investors;

Therefore, pursuant to §§ 551.34 and 551.63, Wis. Stats.,

IT IS ORDERED THAT:

The securities agent license application of William Gregory Vincent (CRD #3007097) is hereby denied.

EXECUTED at Madison, Wisconsin, this 28<sup>th</sup> day of August, 2008.

(SEAL)

  
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Patricia D. Struck  
Administrator  
Division of Securities

NOTICE:

Under sec. 551.61(2), Wis. Stats., within thirty (30) days after any Order has become effective without a hearing, any interested party may file a written request with the Administrator of the Division of Securities for a hearing in respect to any matters determined by the Order. A request for hearing shall be in the form of a petition for hearing and shall, under section SEC 8.01, Wis. Adm. Code, plainly admit or deny each specific allegation, finding, or conclusion in the Order and incorporated papers (unless the petitioner lacks sufficient knowledge or information to permit an admission or denial, in which case the petition shall so state, and such statement shall have the effect of a denial), and shall state all affirmative defenses.

You are advised that any wilful violation of an Order issued by the Administrator of the Division of Securities of the State of Wisconsin Department of Financial Institutions under Ch. 551, Wis. Stats., is a criminal offense punishable under the provisions of sec. 551.58, Wis. Stats.

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Respondent.

PETITION FOR ORDER

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

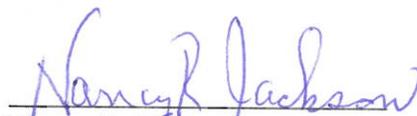
1. William Gregory Vincent ("William") (CRD #3007097) is currently a licensed securities agent with Thomas Group Capital (CRD 112901) with a last known home address of 4757 Netherstone Court, NE, Marietta, Georgia 30066;
2. On April 18, 2008, William applied through the CRD to become licensed in Wisconsin as a securities agent;
3. On April 21, 2008, the staff sent a request to Greg Vincent ("Greg") of Thomas Group Capital requesting documents relating to the disciplinary items that appear on William's CRD record. A date of May 12, 2008 was set for these documents to be filed;
4. On June 4, 2008, the staff sent a reminder letter to Greg with a carbon copy to William at the office address of 3414 Peachtree Road, Suite 730, Atlanta, Georgia 30326, requesting a response by June 18, 2008;
5. On July 2, 2008, the staff sent a letter by certified mail to Greg (with a copy to William) again asking the firm to provide documents relating to the William's disciplinary items or withdraw the application by July 31, 2008. The staff has not received the information that was requested nor has a U5 been filed;
6. The failure of William to complete his application, as described above, provides a basis, pursuant to § 551.34(1)(a), Wis. Stats for the denial of his license application.

THEREFORE, the staff of the Licensing & Compliance Bureau and the Bureau of Enforcement petitions the Administrator for the issuance of the attached Order.

DATED this 25<sup>th</sup> day of August, 2008.



Leslie M. Van Buskirk  
Attorney Supervisor  
Bureau of Enforcement



Nancy R. Jackson  
Licensing Examiner  
Licensing & Compliance Bureau