

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

In the Matter of
WILLIAM GREGORY VINCENT,
Respondent.

PETITION FOR ORDER

File No. S-08132 (LX)

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;

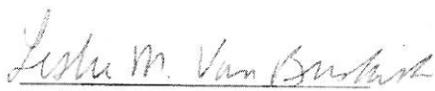
4. On June 4, 2008, the staff sent a reminder letter to Greg with a carbon copy to William at the office address of 3414 Peachtree Road, Suite 730, Atlanta, Georgia 30326, requesting a response by June 18, 2008;

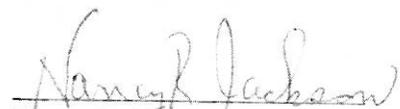
5. On July 2, 2008, the staff sent a letter by certified mail to Greg (with a copy to William) again asking the firm to provide documents relating to the William's disciplinary items or withdraw the application by July 31, 2008. The staff has not received the information that was requested nor has a 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 25th day of August, 2008.


Leslie M. Van Buskirk
Attorney Supervisor
Bureau of Enforcement


Nancy R. Jackson
Licensing Examiner
Licensing & Compliance Bureau