

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

In the Matter of
AIMEE M. KIENAST

Respondent.

PETITION FOR ORDER

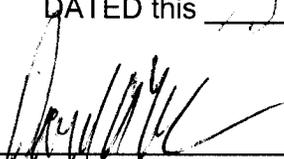
File No. S-03155(LX)

The staffs of the Licensing & Compliance Bureau and the Enforcement Unit, Registration and Enforcement Bureau 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. Aimee M. Kienast ("Kienast") is a securities agent (CRD #4334317) with a last known address of W370 S10425 Shearer Road, PO Box 226, Eagle, WI 53119;
2. Essex National Securities Inc. ("Essex") is a broker-dealer (CRD #25454) with a last known address of 215 Gateway Road West, Napa, CA 94558;
3. On November 7, 2002, Kienast applied through the CRD to become licensed as a securities agent in Wisconsin for Essex;
4. At the time of the application, Kienast was deficient for the Series 63 examination;
5. On June 2, 2003, the staff sent a reminder letter to Kienast and Essex giving Kienast 14 more days to take and pass the exam or withdraw the application;
6. Section DFI-Sec 4.01(5) provides that any application that is not completed or withdrawn within 6 months from the date it is initially received may be deemed materially incomplete and the Division may issue an order denying the license;
7. To date, Kienast has neither passed the examination nor withdrawn her application;
8. The failure of Kienast to complete her application by failing to pass the required examination provides a basis, pursuant to sec. 551.34(1)(a), Wis. Stats for the denial of her license application.

THEREFORE, the staffs of the Licensing & Compliance Bureau and the Enforcement Unit petition the Administrator for the issuance of the attached Order.

DATED this 15th day of June, 2003.



David A. Cohen
Supervising Attorney
Enforcement Unit



Kenneth L. Hojnacki
Director
Licensing & Compliance Bureau