

gentrypartners^{ltd.}

BOUTIQUE BROKERAGE HOUSE

June 7, 2013

Patricia Peterson
Chief Hearing Officer
Hearings Unit, Office of Insurance Commissioner
PO Box 40255
Olympia, WA 98504-0255

File #: 13-0124

Dear Ms. Peterson:

Please review the below in response a license revocation letter received by Ogilvie Security Advisors. This letter is also to request a hearing, utilizing Option 2 as described in the **Notice Of Your Right To A Hearing** guidelines.

Enclosed you will find a copy of the notice we received from the state of Wisconsin. At the time of the receipt of the notice, we promptly contacted WI's Department of Revenue to inform them that Ogilvie Security Advisors Corp. does not generate any income in their state, which is why there were no returns filed. We were provided assurance that the matter was settled.

We were not aware administrative action had been taken against Ogilvie until we were in receipt of your revocation letter. There are several contributing factors which led to this administrative oversight. Due to the downsizing of our company operations, an office move, the dissolution of one of our business units and employee changes, the correspondence received was overlooked and is the reason for the delay in our response. Our operational changes inadvertently caused the delay in notifying your office of this action in the appropriate time frame.

As of May 22, 2013, Ogilvie filed the necessary returns to the state of Wisconsin and paid all fees and penalties owed. Wisconsin is in receipt and as of June 1, 2013, we have resolved all matters with this state and have been brought back to active status.

I assure you we take this matter very seriously and are put forth a great effort to resolve this as soon as we were aware. Please accept my apology for my lack of response to your inquiries.

Please contact me for any questions and to schedule a hearing. Thank you for your time.

Sincerely,



Tashula Roberts
Director of Operations
Gentry Partners, Ltd.
troberts@gentrypartners.com
888-896-0020 x8375

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Hearings Unit, DIC
Patricia Peterson
Chief Hearing Officer



WISCONSIN DEPARTMENT OF REVENUE
PO Box 8932
Madison WI 53708-8932

State of Wisconsin • DEPARTMENT OF REVENUE

2136 Rimrock Road PO Box 8932 Madison, WI 53708-8932

PHONE: 608-267-1354 FAX: 608-327-0236

EMAIL: DORBusinessTaxEstimates@revenue.wi.gov WEBSITE: www.revenue.wi.gov

*X=fil tax=ot emailed 12/22/11
form 4's
final return*

November 22, 2011

Tax Account Number: 200-1020052164-02

Letter ID: L1754227648

Batch Index: 796690944-632

Period Ending:

June 30, 2010

OGILVIE SECURITY ADVISORS CORP
71 S WACKER DR STE 3025
CHICAGO IL 60606

*user - Shernieu
pass - ogilvie7*

*Registration Confirmation
#D-982-899-072*

Why are you getting this notice?

A review of our records indicates that we have not received your Wisconsin franchise or corporation income tax return (Form 4, 5, or 5S) for the period listed above.

What should you do?

IF YOU HAVE NOT FILED AND YOUR CORPORATION WAS INACTIVE both within and outside of Wisconsin for the year listed above:

- Submit a properly signed tax return with the appropriate box checked, indicating there was no activity conducted in the state of Wisconsin for that taxable year, or
- Submit a properly completed and signed Declaration of Inactivity (Form 4H).
 - If Form 4H is filed in lieu of a tax return, no future tax returns are required to be filed until the corporation is requested to file by the department OR the corporation is activated OR the corporation is dissolved. Upon dissolution or withdrawal a final return must be submitted.

IF YOU HAVE NOT FILED AND YOUR CORPORATION HAD BUSINESS OPERATIONS within and/or outside of Wisconsin for the year listed above:

- Submit a properly completed and signed tax return along with a \$30.00 late filing fee for tax years prior to 2010; a \$150 late filing fee if you are a C-Corporation, otherwise a \$50 late filing fee for tax years 2010 and later.
- Foreign corporations which have no property or activity in Wisconsin but are active outside Wisconsin need only enter the statement "No Business Transacted in Wisconsin" on the franchise tax return.
- All corporations must file a tax return until they submit a final return for Wisconsin.

What happens if you do not respond?

IF ONE OF THE DESCRIBED ACTIONS IS NOT TAKEN WITHIN TWENTY DAYS, an estimated tax assessment will be issued. Estimated tax assessments may result in further collection action, which includes additional collection fees and possibly the filing of a tax lien.

If you have any questions and require assistance, please feel free to contact us.

JILL/5/22/13

CORP / FRANCHISE TAX

2009, 2010, 2011, 2012

Tax Operations Bureau
Phone: 608-267-1354



OFFICE OF
INSURANCE COMMISSIONER

In the Matter of

OGILVIE SECURITY ADVISORS CORP,

Licensee.

)
) No. 13-0124
)
) ORDER REVOKING LICENSE
)
)
)

To: Ogilvie Security Advisors Corp
Tashola Roberts
71 S Wacker Ste 3025
Chicago IL 60606

IT IS ORDERED AND YOU ARE HEREBY NOTIFIED that your license is REVOKED, effective April 25, 2013, pursuant to RCW 48.17.530 and 48.17.540(2).

THIS ORDER IS BASED ON THE FOLLOWING GROUNDS:

On January 29, 2013, Ogilvie Security Advisors Corp was sent a warning letter due to failure to report an administrative action taken against it in the State of Wisconsin. On March 4, 2013, we sent a certified letter informing Ogilvie it is in violation of two Washington statutes: RCW 48.17.597 (1), failure to report an administrative action; and RCW 48.17.475, failure to respond. The certified letter was delivered on March 12, 2013, by the U. S. Postal Service. As previously mentioned, failure to report the administrative action and failure to respond to our letters makes Ogilvie in violation of RCW 48.17.597 and RCW 48.17.475.

IT IS FURTHER ORDERED that you return Ogilvie's insurance producer license certificate to the Commissioner on or before the effective date of the revocation of your license, as required by RCW 48.17.530(4).

NOTICE CONCERNING YOUR RIGHT TO A HEARING. Please note that a detailed summary of your right to contest this Order is attached. Briefly, if you are aggrieved by this Order, RCW 48.04.010 permits you to demand a hearing. Pursuant to that statute and others: You must demand a hearing, in writing, within 90 days after the date of this Order, which is the day it was mailed to you, or you will waive your right to a hearing. Your demand for a hearing must specify briefly the reasons why you think this Order should be changed. If your demand for a hearing is received by the Commissioner before the effective date of the revocation, then the revocation will be stayed (postponed) pending the hearing, pursuant to RCW 48.04.020. Upon receipt of your demand for hearing, you will be contacted by an assistant of the Chief Hearing Officer to schedule a teleconference with you and the Insurance Commissioner's Office to discuss the hearing and the procedures to be followed.



ORDER REVOKING LICENSE

No. 13-0124

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Please send any demand for hearing to the Insurance Commissioner, to the attention of Patricia Petersen, Chief Hearing Officer, Hearings Unit, Office of Insurance Commissioner, P.O. Box 40255, Olympia, WA 98504-0255.

ENTERED AT TUMWATER, WASHINGTON, this 9th day of April, 2013.

MIKE KREIDLER
Insurance Commissioner

By

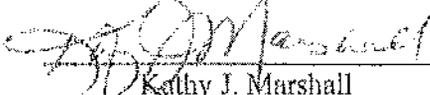

JOHN F. HAMJE
Deputy Insurance Commissioner
Consumer Protection Division

Program Analyst: Joe Mendoza

DECLARATION OF MAILING

I certify under penalty of perjury under the laws of the State of Washington that on the date listed below, I mailed or caused delivery of a true copy of this document to *Ogilvie Security Advisors Corp.*

Dated: *April 9, 2013*
At Tumwater, Washington


Kathy J. Marshall

NOTICE OF YOUR RIGHT TO A HEARING

You have the right to demand a hearing to contest this Order. During this hearing, you can present your argument that the Order should not have been entered for legal and/or factual reasons and/or to explain the circumstances surrounding the activities which are the subject of this Order. You may be represented by an attorney if you wish, although in some hearings before this agency parties do choose to represent themselves without an attorney.

Your demand for hearing should be sent to Office of the Insurance Commissioner, Attention: Patricia D. Petersen, Chief Hearing Officer, Hearings Unit, P.O. Box 40255, Olympia, WA 98504-0255, and must briefly state how you are harmed by this Order and why you disagree with it. You will then be notified both by telephone and in writing of the time and place of your hearing. If you have questions concerning filing a Demand for Hearing or the hearing process, please telephone the Hearings Unit, Office of the Insurance Commissioner, at 360/725-7002.

Your Demand for Hearing must be made within 90 days after the date of this Order, which is the date of mailing, or your Demand will be invalid and this Order will stand. If your Demand for Hearing is received before the effective date of this Order, the penalties contained in the Order will be stayed (postponed) until after your hearing.

It is important to know that if you demand a hearing, you will have two options for how it will be handled:

Option 1: Unless you specifically request Option 2, your hearing will be presided over by an administrative law judge from the Office of the Insurance Commissioner. Under this option, upon receipt of your Demand for Hearing, the Insurance Commissioner may refer the case to an administrative law judge. The administrative law judge is an individual who has not had any involvement with this case. The administrative law judge will hear and make the final decision in the case without any communication, input or review by the Insurance Commissioner or staff or any other individual who has knowledge of the case. This administrative law judge's final decision may uphold or reverse the Commissioner's action or may instead impose any penalties which are less than those contained in the Order.

Option 2: If you elect, your hearing will be presided over by an administrative law judge from the Office of Administrative Hearings. That administrative law judge will issue an initial or recommended decision which will then be sent to the Insurance Commissioner. The Insurance Commissioner, or his designee, will review the initial decision and make the final decision. The Insurance Commissioner's final decision in the case may uphold, reverse or modify the initial decision, thereby changing the penalty which is recommended in the initial decision. In writing the final decision, the Insurance Commissioner is not bound by the findings of facts or conclusions of law which were made in the initial decision.