

STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT

IN THE MATTER OF: FRANCIS MICHAEL EVANS )

FILE NO. 0800473

**TO THE RESPONDENT:** Francis Michael Evans  
(CRD #: 4479794)  
1222 W. 41<sup>st</sup> Street  
LaGrange, Illinois  
60525

**CONSENT ORDER**

WHEREAS, on October 21, 2008, a Notice of Hearing was filed against Francis Michael Evans.

WHEREAS, Francis Michael Evans on the 14<sup>th</sup> day of January, 2009, executed a certain Stipulation to Enter Consent Order (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, Francis Michael Evans has admitted to the jurisdiction of the Secretary of State in this matter and has consented to the entry of this Consent Order ("Consent Order").

WHEREAS, by means of the Stipulation, Francis Michael Evans acknowledges, without admitting or denying the truth thereof, that the following allegations shall be adopted as the Secretary of State's Findings of Fact:

1. Respondent Francis Michael Evans ("Respondent" or "Evans") is an individual residing at 1222 W. 41<sup>st</sup> Street, LaGrange, Illinois 60525.
2. Evans has been registered as an investment advisor representative in the State of Illinois for Eagle Strategies LLC ("Eagle") from May 5, 2001 to the present.
3. Evans has been registered as a salesperson in the State of Illinois for New York Life Securities, LLC ("New York Life") from October 22, 2001 to the present.

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4. On August 29, 2008, The Illinois Department of Financial and Professional Regulation ("IDFPR") initiated a regulatory action against Evans for violating the Illinois Insurance Code.
5. Evans did not deny or admit to violations of the Illinois Insurance Code but for the purpose of resolving all matters without the necessity of an administrative hearing signed a Stipulation and Consent Order with IDFPR finding him in violation of Section 5/500-70(A)(10) of the Insurance Code.
6. Pursuant to the Stipulation Consent Order with IDFPR Evans agreed to pay a civil fine in the amount of Two Thousand Dollars and 00/100 (\$2000.00), and to correct the issue complained about in the IDFPR action.
7. Section 8.E(1)(n) of the Act provides, *inter alia*, the registration of an investment advisor representative and salesperson may be revoked if such investment advisor has had an order entered against him from another state or federal body, agency or commission regulating banking, insurance, finance. . . in violation of any statute, rule or regulation administered or promulgated by the body, agency or commission.
8. Section 11E(4) of the Act provides, *inter alia*, in addition to any other sanction or remedy contained in this subsection E, the Secretary of State may issue an order of public censure.

WHEREAS, by means of the Stipulation Francis Michael Evans has acknowledged, without admitting or denying the averments, that the following shall be adopted as the Secretary of State's Conclusions of Law:

1. Francis Michael Evans is hereby censured pursuant to section 11E(4).

WHEREAS, the Secretary of State, by and through his duly authorized representative, has determined that this matter may be DISMISSED without further proceedings.

NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED THAT:

- 1) Francis Michael Evans acknowledges and agrees that he shall not conduct the activities of a salesperson **EXCEPT** in compliance with the Act;
- 2) Francis Michael Evans is hereby censured for the reasons described above: and

- 3) The formal hearing, as it pertains to Francis Michael Evans, scheduled on this matter is hereby **DISMISSED** without further proceedings.

ENTERED: This 16<sup>th</sup> day of January, 2009.



JESSE WHITE  
Secretary of State  
State of Illinois

**NOTICE:** Failure to comply with the terms of this Order shall be a violation of Section 12.D of the ACT. Any person or entity that fails to comply with the terms of this Order of the Secretary of State, having knowledge of the existence of this Order, shall be guilty of a Class 4 felony for each offense.

**This is a final order subject to administrative review pursuant to the Administrative Review Law [735 ILCS 5/3-101 et seq.] and the Rules and Regulations of the Act (14 Ill. Admin. Code, Ch. 1 Sec. 130.1123). Any action for judicial review must be commenced within thirty-five (35) days from the date a copy of this Order is served upon the party seeking review.**

Attorney for the Department:  
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