

**STATE OF ILLINOIS  
SECRETARY OF STATE  
SECURITIES DEPARTMENT**

\_\_\_\_\_  
IN THE MATTER OF: JOHN C. COWIN )  
\_\_\_\_\_)

FILE NO. 1000022

**CONSENT ORDER OF  
WITHDRAWAL OF APPLICATION**

TO THE RESPONDENT:

John C. Cowin  
(CRD#: 5741296)  
8222 Mourning Dove Court  
Woodridge, Illinois 60517

John C. Cowin (CRD#: 5741296)  
C/o NEW ENGLAND SECURITIES CORPORATION  
C/O METLIFE SECURITIES, INC.  
1095 AVENUE OF THE AMERICAS  
New York, New York 10036

WHEREAS, Respondent on the 16<sup>th</sup> day of June, 2010 executed a certain Stipulation to Enter Consent Order of Withdrawal of Application (the "Stipulation"), which hereby is incorporated by reference herein.

WHEREAS, by means of the Stipulation, Respondent has admitted to the jurisdiction of the Secretary of State and service of the Notice of Hearing of the Secretary of State, Securities Department dated April 2, 2010 in this proceeding (the "Notice") and Respondent has consented to the entry of this Consent Order of Withdrawal of Application ("Consent Order").

WHEREAS, by means of the Stipulation, the Respondent acknowledged, without admitting or denying the truth thereof, that the following allegations contained in the Notice of Hearing shall be adopted as the Secretary of State's Findings of Fact:

1. That on December 15, 2009 and on March 15, 2010, New England Securities Corporation, a registered dealer and investment adviser, filed Form U-4 applications for registration of the Respondent as a salesperson and as an investment adviser representative in the State of Illinois pursuant to Section 8 of the Act.

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2. That on May 6, 2008 the Illinois Department of Revenue filed a Notice of Tax Lien (Lien ID: 2580328) against the Respondent. The aforementioned lien including penalty and interest is in the amount of \$18,005.57.
  
3. That Section 8.E(1)(o) of the Act provides, inter alia, that the registration of a salesperson or investment adviser representative may be denied if the Secretary of State finds that such salesperson or investment adviser representative has failed to file a return, or to pay the tax, penalty or interest shown in a filed return, or to pay any final assessment of tax, penalty or interest, as required by any tax Act administered by the Illinois Department of Revenue, until such time as the requirements of that tax Act are satisfied

WHEREAS, by means of the Stipulation, the Respondent acknowledged, without admitting or denying the truth thereof, that the Secretary of State has adopted the following additional Finding of Fact:

That the Respondent withdrew his applications for registration as a salesperson and investment adviser representative in the State of Illinois on April 8, 2010.

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

The Respondent's applications for registration as a salesperson and investment adviser representative in the State of Illinois are subject to denial pursuant to Section 8.E(1)(o) of the Act.

WHEREAS, by means of the Stipulation, Respondent has acknowledged and agreed that he shall not re-apply for registration as a salesperson or investment adviser representative in the State of Illinois until the matter in controversy with the Illinois Department of Revenue has been resolved either by fully satisfying the outstanding tax lien (including tax, penalty and interest) or by the attainment of a plan of payment. Further, he will provide adequate evidence of same to the Department upon request.

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WHEREAS, the Secretary of State, by and through his duly authorized representative, has determined that the matter related to the aforesaid formal hearing may be dismissed without further proceedings.

NOW THEREFORE IT SHALL BE AND IS HEREBY ORDERED THAT:

1. The Respondent shall not re-apply for registration as a salesperson or investment adviser representative in the State of Illinois until the matter in controversy with the Illinois Department of Revenue has been resolved either by fully satisfying the outstanding tax lien (including tax, penalty and interest) or by the attainment of a plan of payment. Further, he will provide adequate evidence of same to the Department upon request.
2. The formal hearing scheduled on this matter is hereby dismissed without further proceedings.

ENTERED This 23<sup>rd</sup> day of June, 2010.

  
JESSE WHITE  
Secretary of State  
State of Illinois

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