

STATE OF IDAHO, Department of)	
Finance, Securities Bureau,)	Docket No. 2002-7-35
Complainant,)	
vs.)	
JENIFER BROCKER,)	AGREEMENT AND ORDER
Respondent.)	
_____)	

The Director of the Department of Finance, State of Idaho (Director) has investigated the activities of Respondent Jenifer Brocker (aka: Jenifer Hargrove) (Respondent). Pursuant to said investigation, it appears that violations of the Idaho Securities Act (the Act), Idaho Code §30-1401, *et seq.*, have occurred. The Director and Respondent have agreed to resolve this matter without a public hearing. Therefore, the Director deems it appropriate and in the public interest that this Agreement and Order be entered.

BACKGROUND

1. Respondent has been an Idaho registered broker-dealer representative of Allstate Financial Services since March 19, 2001. Respondent has been a NASD registered broker-dealer representative since February 12, 2001.

FINDINGS

2. The Respondent was convicted on December 19, 2000 in the Bonneville County District Court of a misdemeanor involving "computer crimes". Specifically, Respondent was convicted of gaining unauthorized access to her former employer's insurance client's records, after she had left employment there, and removing those records from the office of her former employer. Respondent was sentenced to thirty (30)

days incarceration, and fined \$300.00 plus court costs. Respondent maintained her innocence during said proceeding. Matters such as the above are required to be reported on Form U-4 and the applicant is required to certify that the contents of the Form U-4 are accurate and complete.

3. Respondent submitted to the Complainant an application for registration as a broker-dealer representative in Idaho on March 19, 2001. Respondent's application was automatically approved on this date since Respondent's Form U-4 filing did not reflect any reported disciplinary history.

4. Respondent appealed the Bonneville County District Court decision to the Idaho Supreme Court where the decision was reversed.

VIOLATION

5. Respondent is in violation of Idaho Code §30-1408 in that Respondent failed to timely amend her pending application to disclose the misdemeanor conviction on Form U-4 as part of her registration application with the Complainant. Respondent neither admits nor denies the violation.

REMEDIES

6. Idaho Code §30-1413(1)(2)(3) authorizes the Director to deny, suspend or revoke the registration of a broker-dealer representative that has made a false or misleading filing with the Complainant, has failed to comply with any provision of the Idaho Securities Act or any rule promulgated under the Act, and has been convicted of any misdemeanor involving any aspect of the securities business. The Director may also impose an administrative penalty not to exceed ten thousand dollars (\$10,000) for each violation.

7. To settle the matter without further proceedings, Respondent agrees to a suspension of her broker-dealer registration for a period of five (5) days to be fulfilled at any time during the calendar year 2003.

8. Respondent agrees to remit a fine in the amount of \$1,000 to the Complainant within thirty (30) days of the date of this order.

9. Respondent agrees to comply with all provisions of the Idaho Securities Act, and all rules promulgated under the Act, at all times in the future. Failure to comply will provide grounds for revocation of Respondent's broker-dealer representative registration in Idaho.

DATED this 7 day of August, 2003.

*approved as to form
D. Leroy, attorney.*

BY:

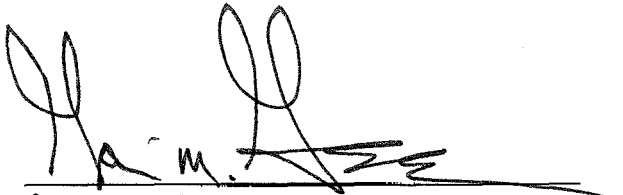
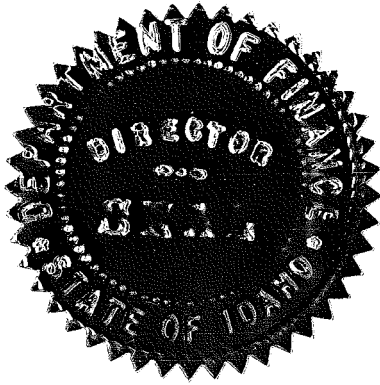
NAME:

Scott Beck

Title:

MARILYN T. CHASTAIN
Bureau Chief, Securities Bureau
Department of Finance
State of Idaho

IT IS SO ORDERED This 11th day of August, 2003.



GAVIN M. GEE
Director of Finance