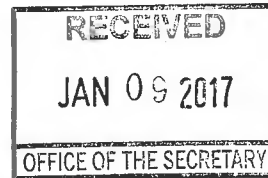


January 6, 2017

Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, NE
Mail Stop 1090
Washington, DC 20549



3-17766

Re: Wanda L. Gilmer, CRD 5311699 | FINRA Case Number: 2007009120401

To whom it may concern:

I respectfully appeal the regulatory action pursuant to FINRA Rule 9552(h) of FINRA's Code of Procedure to bar me from associating with any FINRA member in any capacity as of April 7, 2009 on the grounds that I did fully comply.

Please see as follows an outline:

March 19, 2007 –

Wanda L Gilmer completed the NASD form U4: Question 8, Have you ever been arrested was incorrectly answered.

May 2, 2007 –

Wanda L Gilmer was terminated from OneAmerica due to response as listed above.

June 8, 2007 –

Petitioned court Order to Expunge (and Seal) record.

- August 20, 2007 expungement complete.

August 3, 2007 –

FINRA letter received requesting response to inquiry with a due date on or before August 17, 2007.

August 10, 2007 –

Response to inquiry sent on to the attention of Lisa D. Schaffer with FINRA including letter of termination from One America.

September 5, 2008 –

I contacted FINRA and was advised to complete the Snapshot Request Form, update mailing address and submit documentation to Expungement Department.

September 9, 2008 –

Mailed and faxed:

1. Expungement Department
2. Snapshot Report Request Form (faxed)
3. CRD Address Changes, instructions via Snapshot Report Request Form – August 2007

November 7, 2016 –

Accepted an offer at Infinity Strategic Partners and was terminated after 3 weeks due background check indicating industry bar.

November 8, 2016 –

Contact FINRA for explanation and resolution:

- Requested 3 letters that had not been received.
- Instructed to contact SEC for resolve.

The enclosed contains a copy of the response to FINRA's inquiry dated August 10, 2007, submitted prior to the deadline of August 17, 2007. An address update was mailed on September 9, 2008 however the letter's dated: October 10, 2008, November 3, 2008 and April 13, 2009 were not received at the current address. While I complied timely to the inquiry, I was cited as not doing so and barred.

I have thrived in the financial industry and have built both strong skills and relationships that will last a lifetime. As outlined in the character references included, I am an individual of high ethics and integrity. It is important to me that I continue this reputation.

Based on the documentation I, again, respectfully request termination of any suspension and/or association bar requesting reinstatement. Please don't hesitate to contact me as follows with any questions:

Wanda L. Gilmer

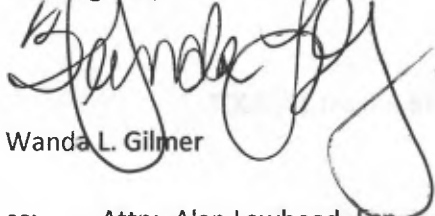
Chicago, IL

Ph:

E-Mail:

Thank you in advance and look forward to your response.

Kind regards,



Wanda L. Gilmer

cc: Attn: Alan Lawhead, Esp.
Office of General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006



Financial Industry Regulatory Authority

VIA FEDEX OVERNIGHT DELIVERY AND FIRST CLASS MAIL

April 13, 2009

Wanda Gilmer

[REDACTED]
[REDACTED]
Berkeley, IL [REDACTED]

Wanda Gilmer

[REDACTED]
[REDACTED]
Berkeley, IL [REDACTED]

Wanda Gilmer

[REDACTED]
[REDACTED]
Justice, IL [REDACTED]

Wanda Gilmer

[REDACTED]
Chicago, IL [REDACTED]

Re: Bar from Association with any FINRA member (FINRA Rule 9552)
Wanda Gilmer, CRD No. 5311699
Matter No. 20070091204

Dear Ms. Gilmer:

Please be advised that, pursuant to FINRA Rule 9552(h) of FINRA's Code of Procedure and, in accordance with FINRA's Notice of Suspension letter dated October 10, 2008 and the Suspension from Association letter dated November 3, 2008, you were barred from associating with any FINRA member in any capacity on April 7, 2009.

If you seek to appeal this regulatory action to the U.S. Securities and Exchange Commission (SEC), you must file an application with the SEC at the address listed below. To comply with the SEC's rule regarding timeliness, you must file the application for review within thirty days of your receipt of this letter. Also, a copy of the application, as well as copies of all documents you file with the SEC in connection with this matter, must be sent to FINRA. The SEC and FINRA addresses are as follows:

Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, NE
Mail Stop 1090
Washington, DC 20549

Alan Lawhead, Esq.
Office of General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006

Any documents provided to the SEC via facsimile or overnight mail should also be provided to FINRA by similar means.

Wanda Gilmer
April 13, 2009
Page 2

If you file an application for review with the SEC, the application must identify the FINRA case number and set forth in summary form a brief statement of alleged errors in the determination and the supporting reasons. You must also include an address where you may be served and phone number where you may be reached during business hours. If your address or phone number changes, you must advise the SEC and FINRA. Attorneys must file a notice of appearance.

Based upon the advice of the U.S. Postal Service and law enforcement authorities, FINRA and its family of companies will no longer open or accept any mail (envelopes or packages) that does not have complete return names and addresses. Please be sure when sending mail to FINRA that your information is fully and appropriately labeled.

Questions regarding the appeal process may be directed to the Office of the Secretary at the SEC. The phone number of that office is (202) 551-5400.

Very truly yours,



Jill L. Jablonow
Senior Regional Counsel

cc: Richard A. March, Senior Regional Counsel
Carlotta A. Romano, Senior Vice President and Regional Director

August 10, 2007

Lisa D. Schaffer
FINRA
55 West Monroe St., Ste. 2700
Chicago, IL 60603-5052

Re: NASD Examination 20070091204/OneAmerica Securities, Inc.
CRD No. 4173

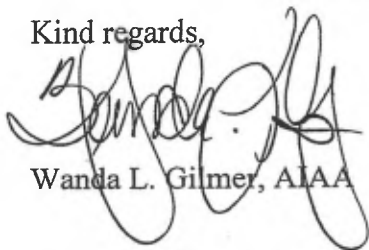
Dear Ms. Schaffer:

Please find response to your inquiry regarding a Form U-5 filing by OneAmerica Securities, Inc. concerning Wanda L. Gilmer:

1. I failed to disclose the criminal charge on the U-4 as I was not fully aware that the charge existed. Because the charge was dropped due to a non-guilty plea, I assumed it would also be removed from my record. When completing the U-4 application, I felt that I fully disclosed all required information accurately. On 05/01/07, when notified, I immediately contacted the City of Calumet to ascertain how I should proceed with obtaining any documentation regarding the charge. This same date I was informed by OneAmerica Securities that there was a 30 day window to satisfy the request of the NASD but was terminated the following day, 05/02/2007.
2. Please find enclosed all documentation regarding the charge in addition to the confirmation of Expungement.
3. Please see attached documentation for information regarding the charge per the request of Lisa Schaffer, 08/03/2007.
4. OneAmerica Securities, Inc. provided me with the Form U-4 for completion. As stated above, I felt that I fully disclosed all required information accurately.
5. Additional Information: The Form U-5 indicated that I was terminated for falsification of initial hiring application, which is not true. The initial employment application asks: 8. Have you ever been convicted of a crime or denied a bond? *No*. This answer is correct as I have not been convicted of any crime or misdemeanor. This application is enclosed and highlighted for your convenience.

Please feel free to contact me if you have any questions or require additional information at (708) 865-0415. Thank you in advance.

Kind regards,



Wanda L. Gilmer, AIAA



Sent Via First Class U.S. Mail and Certified Mail (7160 3901 9849 8547 8652)

August 3, 2007

Ms. Wanda L. Gilmer

[REDACTED]
Maywood, Illinois [REDACTED]

Re: FINRA Examination 20070091204
CRD No. 4173

Dear Ms. Gilmer:

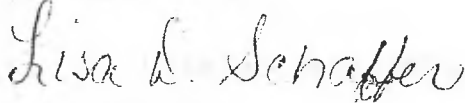
On June 12, 2007, I sent a letter to you requesting information with regard to a U-5 filing submitted by OneAmerica Securities, Inc., on your behalf. The filing reads that you failed to disclose to the firm and on your Application for Registration (Form U-4) an arrest in 1994. My letter requested that the information be provided to this office by June 29, 2007. To date, I have not received the requested information.

If you are not currently associated with a FINRA firm, please be advised that you are responsible for notifying FINRA in writing of any home or mailing address change. Your correspondence should also be directed to: FINRA Central Registration Depository, Public Disclosure Department, Attn: Research, 3090 Key West Avenue, Rockville, MD 20850.

It is imperative that the previously requested materials arrive in this office on or before **August 17, 2007**. This *second request* is made pursuant to NASD Rule 8210. That rule requires a member firm and persons associated with a member firm to provide information with respect to any matter involved in an investigation, complaint, or proceeding. Please be advised that the failure to comply with this request may subject you to disciplinary action.

If you have any questions, please contact me at (312) 899-4650.

Sincerely,



Lisa D. Schaffer
Compliance Examiner

nr/reedn/harrisy/schaffer/20070091204 08032007.doc

Enclosure

cc: Peggy Ann Bennett
Chief Compliance Officer
OneAmerica Securities, Inc.
One American Square
P.O. Box 1984
Indianapolis, Indiana 46206

Sent Via First Class U.S. Mail and Certified Mail (7160 3901 9849 8547 8645)

Ms. Wanda L. Gilmer

[REDACTED]
[REDACTED]

Berkeley, Illinois [REDACTED]

NASD



Sent Via First Class U.S. Mail and Certified Mail (7160 3901 9849 8547 8447)

June 12, 2007

Wanda L. Gilmer
[REDACTED]
[REDACTED]
Berkeley, Illinois [REDACTED]

Re: NASD Examination 20070091204 / OneAmerica Securities, Inc.
CRD No. 4173

Dear Ms. Gilmer:

This office is conducting an inquiry regarding a Form U-5 (Uniform Termination Notice for Securities Industry Registration) filing by OneAmerica Securities, Inc. concerning you. The filing reveals that you falsified information on your initial employment application regarding a prior arrest for theft.

To facilitate our inquiry, it is requested that you provide the following:

1. Please provide a detailed written and signed statement addressing the allegations identified in the above paragraph. Your response shall include, but not be limited to explaining why you apparently falsified this information and/or failed to disclose the criminal charges on your Form U-4 application and to OneAmerica Securities. Clearly state whether or not you failed to provide the firm with relevant documents and information to make it possible for the firm to timely updated your U-4 to disclose criminal charges.
2. Provide proof, i.e. court documents, concerning the arrest and final disposition of the criminal charges. Please include all court documents received regarding these charges.
3. Please provide a written statement describing our understanding of the events surrounding your arrest and criminal charges, who at the firm you notified and when. Please also indicate the dates of any court proceedings.
4. As you were in the process of completing the licensing examination for the Investment Company Products/Variable Contracts Representative (Series 6), provide a written statement describing your understanding of OneAmerica Securities, Inc. procedures regarding registered representatives' obligation to update their Form U-4 applications to disclose certain reportable events and notify the firm of any changes in information on their U-4. Your response should clearly state whether you were aware that you were required to disclose your criminal charge(s) to the firm.

NASD Examination 20070091204 / OneAmerica Securities, Inc.

CRD No. 4173

Page 2

5. If your attorney prepares your response, we require that you sign or countersign the letter.
6. Any other information that you feel would be pertinent to this investigation.

You are requested to provide your response to the Chicago District Office by **June 29th, 2007**.

This request is being made pursuant to NASD Procedural rule 8210, which requires persons associated (or formerly associated) with a member firm to provide information regarding any matter involved in an investigation. Failure to respond to this request may result in disciplinary action. Please note that this is a preliminary inquiry and request for information; as such it does not require reporting under Question 14I of the Form U-4 regarding notice of investigations.

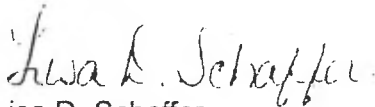
If you are not currently associated with an NASD member firm, please be advised that you are responsible for notifying this office in writing of any home or mailing address change. Your correspondence regarding an address change should be directed to:

NASD Central Registration Depository
Public Disclosure Department, Attn: Research
3090 Key West Avenue
Rockville, Maryland 20850

Should you have any questions, you may contact me by calling (312) 899-4650.

Thank you for your assistance and cooperation in this matter.

Sincerely,



Lisa D. Schaffer
Compliance Examiner



May 30, 2007

Wanda L. Gilmer

[REDACTED]
Berkley, IL [REDACTED]

Ms. Gilmer,

This is to confirm your separation of employment from AUL/OneAmerica. This action was influenced by information in a United States Department of Justice report we received. Additionally, this action was influenced by not disclosing this information on your NASD application.

The United States Department of Justice did not make the adverse decision and cannot provide the reason for the decision.

You have the right to dispute the accuracy of the information with the United States Department of Justice. For your convenience, we have enclosed a copy of your report along with a summary of your rights under the Fair Credit Reporting Act.

Sincerely,

Jane K. Sobczak, PHR
Senior Employment Representative
American United Life Insurance Company
a OneAmerica Company



Employment Application

American United Life Insurance Company
One American Square
P.O. Box 368
Indianapolis, Indiana 46206-0368

An Equal Opportunity Employer

This Application Will Be Valid For Employment For 60 Days

Full Name Wanda L. Gilmer Telephone (H) [REDACTED] Social Security Number [REDACTED]
Present Address [REDACTED] Justice, IL [REDACTED]
(street, city, state and zip code)

EDUCATION	School	City & State	Did you Graduate?	Degree	Major
High School	George Washington	Chicago, IL	no		
College	Olive Harvey College	Chicago, IL	yes	BED	
Graduate School					
Technical	Nortel Networks	Richardson, TX	yes		Opt. II-810
Business School	Comp. Learning Ctr.	Chgo., IL	yes		CBS
Grade average:	High School <u>U</u>	College _____	Other _____		

In what subjects were you most interested?

WORK EXPERIENCE (Begin with your present or most recent job. INCLUDE MILITARY EXPERIENCE).

Employer York Employment Address Westchester, IL
Employed from 04 / 00 to present Position Admin. Assistant Current Salary \$12.00/hr
Duties Prepare correspondence, proposals; filing, copies made
Reason for Leaving _____
Supervisor's Name & Title Anne Marie Esslinger Telephone Number 708/531-8367

Employer Shared Technologies Fairchild Address Wood Dale, IL
Employed from 06 / 98 to 04 / 00 Position Service Coordinator Salary 30K
Duties Support Director, field operations; process internal paperwork
Reason for Leaving Career change
Supervisor's Name & Title Jeffrey Scullion Telephone Number 630/787-8092

Employer York Employment Address Westchester, IL
Employed from 11 / 97 to 12 / 98 Position Admin. Assistant Salary \$12.00/hr
Duties Prepare correspondence, proposals; filing, faxing
Reason for Leaving Permanent position
Supervisor's Name & Title Julie Mehalic Telephone Number 708/531-8367

Employer Riteway Construction Address Chicago, IL
Employed from 02 / 97 to 11 / 97 Position Office Administrator Salary 18K
Duties Maintain projects, A/P; correspondence, proposals
Reason for Leaving Laid off
Supervisor's Name & Title Larry Huggins Telephone Number _____

Typing Test Results

Basic / Advanced / Data Entry

NKPM or

_____ WPM / _____ % Accuracy

For Company Use Only

(Please be certain to sign and date this form at bottom of page.)

MISCELLANEOUS

1. What position are you applying for? Pension Admin. Coordinator
2. What is your starting salary requirements? open
3. If hired, when will you be able to start work? 7/31/00
4. Are you seeking FULL TIME WORK PART TIME WORK TEMPORARY WORK
5. Have you been employed by AUL previously? NO If so, when? _____ Name and Relationship _____
6. Are you related to an employee of this company? NO
7. Did you seek employment at AUL through:
 - An employee? _____
 - Employment Agency? York Emp
 - Newspaper Ad? _____
 - A friend? _____
 - On your own? _____
 - School Placement Officer? _____
8. Have you ever been convicted of a crime or denied a bond? NO If yes, explain to Interviewer.
9. If hired, can you provide proof that you are eligible to work in the United States? yes
10. Please list any Honors, Awards, Professional Association and/or Designations, Offices held, etc. (You may exclude any information which would indicate your race, creed, color, sex, marital status, age, national origin, citizenship or disability).
Certificate in computerized business systems; Member of the Order of the Eastern Star (O.E.S.) organization; NAACP affiliate
11. Is there any additional information you feel may be helpful to us in evaluating your qualifications? _____
12. Is there any information pertaining to a name change or nickname that would assist us in conducting standard reference checks? _____

Please read the following statements and authorization before signing

I hereby certify that all information provided on this application form is true and correct to the best of my knowledge. I understand that omissions or falsified statements on this form during the interviewing process shall result in rejection of my application for employment. Any such omissions or falsified statements discovered after employment commences with AUL will be sufficient cause for dismissal.

In connection with this employment application, I understand that a background investigation may be made as to my employability, whereby information will be obtained through former employers regarding my employment history, job performance, and conduct. Also, I give my permission to have records of my high school, technical school, business school, or college courses, grades and degrees/diplomas released to AUL.

In addition, I understand that an Investigative Consumer Report may be made as part of the employment application process, whereby information is obtained through personal interviews with people with whom I am acquainted. (This inquiry includes information as to your character, general reputation, personal characteristics, and mode of living.) I understand that I have the right to make a written request within a reasonable period of time to receive additional detailed information about the nature and scope of this Investigative Consumer Report.

I understand that, should I become employed by AUL, I will abide by the policies, procedures and ethical guidelines set forth. I also understand that employment with AUL does not create an actual or implied contract, meaning AUL or I may terminate the employment relationship at any time with or without cause.

A photographic copy of this authorization shall be as valid as the original.

[Signature]
Signature of applicant

July 24, 2000
Date of application

H/O BACKGROUND SUPPLEMENT TO NASD FORM U-4

The NASD requires Broker-Dealers to investigate applicants for NASD registration prior to sponsorship. As a part of our due diligence review, please provide responses to the following. If additional space is needed, please provide detailed responses on a separate sheet.

1. Please provide your full name (include maiden name) WANDA LATRICE GILMER (POWELL)
2. Social Security Number [REDACTED]
Mailing address [REDACTED] EDUE [REDACTED] BERKELEY, ILLINOIS [REDACTED]
General Agent Name & Address ONEAMERICA, 601 OAKMONT LN, #250 WESTMONT, ILLINOIS 60559
Phone Number 630-794-9300 Fax Number 630-794-0738
E-mail Address WANDA.GILMER@ONEAMERICA.COM Website Address _____

3. Have you been NASD Registered previously? If yes, please provide your CRD number.

No

4. If you were or are currently registered with another broker-dealer, please provide the date of termination and a copy of your Form U-5 Termination Notice. It is OneAmerica Securities= policy NOT to allow dual registration with other broker/dealers.

N/A

5. **** Important **** You **MUST** provide *the name and complete mailing address* (including zip code) for **ALL** of your employers *for the past three years*. As part of the registration process it is **required** by NASD that we contact these employers. To facilitate these contacts also provide, telephone number, and contact person.

1) ONEAMERICA

601 OAKMONT LN, #250

WESTMONT, IL 60559

630-794-9300, MICHAEL FLAHAVEN / DENISE PREECE

6. Are you currently licensed with any state Insurance Department for the sale of variable annuities and variable life insurance products? If yes, please attach a copy of your current license(s).

N/A

7. Have you ever been fingerprinted? If yes, explain the circumstances under which this occurred:

No

PAGE 2
BACKGROUND SUPPLEMENT CONTINUED

8. Have you ever been arrested? If yes, you **MUST** provide copies of **ALL** documents including arrest report, criminal complaint, judgment, judgment sentencing order, court documents, probation order, and final disposition and provide details on a separate sheet.

No

9. Have you ever been convicted of a misdemeanor or a felony? If yes, you **MUST** provide copies of **ALL** court documents including complaint, indictment, plea agreement, judgment, probation order, and final disposition and provide details on a separate sheet.

No

10. Have you ever been investigated for alleged violations of any securities or insurance laws by any state or federal regulatory body, the NASD, NYSE, or SEC? If yes, describe in detail on a separate sheet the result of the investigation and provide documentation of the final disposition.

No

11. Has any of your customers ever complained to your employer, any state regulatory body, the SEC, or the NASD in regards to your relationship with them? If yes, explain on a separate sheet and attach supporting documents of the complaint and final disposition.

No

12. Have you ever been terminated by any employer for violating any of its policies and procedures? If yes, please provide details on a separate sheet and attach documentation, and final disposition.

No

13. Do you currently have a securities brokerage account(s) with any broker-dealer? If so, please provide the **account title, account number, and name and address of the broker/dealer** where the account is held and the purpose of the account. If you have questions concerning this, please contact Compliance at X 2845 or X 2514.

No

14. Are you currently or do you plan on engaging in **any** other business activity outside the scope of your employment with OneAmerica Securities for which you will receive compensation? If yes, please describe in detail on a separate sheet the type and nature of the business activity and how you will be compensated (**This includes insurance broker activities**). This information **must** also be reported on the U-4 form, either under "Employment History" or "Other Business".

No

**PAGE 3
BACKGROUND SUPPLEMENT CONTINUED**

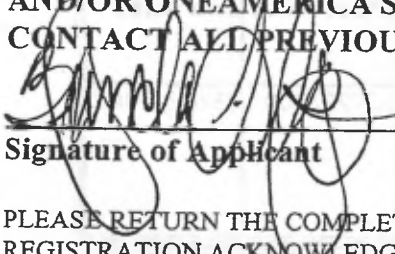
15. Are you currently involved in any private enterprise, or partnership, or have you engaged in or intend to engage in any private securities transactions? If yes, please describe in detail on a separate sheet the entity and your involvement.

No

16. Is there any other information pertinent to your personal situation we should be aware of which may effect your licensing or registration at this time? If yes, please describe in detail below:

No

BY SIGNING BELOW, I HEREBY ATTEST THAT MY ANSWERS TO THE QUESTIONS ABOVE ARE TRUE AND COMPLETE TO THE BEST OF MY KNOWLEDGE, AND AUTHORIZE AUL AND/OR ONEAMERICA SECURITIES, INC TO REVIEW MY NASD CRD RECORD AND CONTACT ALL PREVIOUS EMPLOYERS.



Signature of Applicant

3/19/07

Date

PLEASE RETURN THE COMPLETED U-4 FORM, NASD CHECKLIST, BACKGROUND SUPPLEMENT, LICENSING AND REGISTRATION ACKNOWLEDGMENT, FINGERPRINT CARDS, AND FEES TO: NASD LICENSING 1012A, AMERICAN UNITED LIFE INS CO, P O BOX 368, INDIANAPOLIS IN 46206. OVERNIGHT STREET ADDRESS: ONE AMERICAN SQUARE (ZIP 46282).

FORM U5 UNIFORM TERMINATION NOTICE FOR SECURITIES INDUSTRY REGISTRATION

U5 - FULL
05/16/2007

Rev. Form U5 (10/2005)

NOTICE TO THE INDIVIDUAL WHO IS THE SUBJECT OF THIS FILING

Even if you are no longer registered you continue to be subject to the jurisdiction of regulators for at least two years after your registration is terminated and may have to provide information about your activities while associated with this firm. Therefore, you must forward any residential address changes for two years following your termination date or last Form U5 amendment to: CRD Address Changes, P.O. Box 9495, Gaithersburg, MD 20898-9495.

1. GENERAL INFORMATION

First Name: WANDA	Middle Name: LATRICE	Last Name: GILMER	Suffix:
Firm CRD #: 4173	Firm Name: ONEAMERICA SECURITIES, INC.	Firm NFA #:	
Individual CRD #: 5311699	Individual SSN: [REDACTED]	Individual NFA #:	Firm Billing Code:

Office of Employment Address

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Type of Office	Start Date	End Date
BD Main			ONE AMERICAN SQUARE INDIANAPOLIS , IN 46282	N	Supervised From	03/20/2007	05/02/2007

Rev. Form U5 (10/2005)

2. CURRENT RESIDENTIAL ADDRESS

NOTICE TO THE FIRM

This is the last reported residential address. If this is not current, please enter the current residential address.

From	To	Street	City	State	Country	Postal Code
06/2002	PRESENT	[REDACTED]	BERKELEY	IL	USA	[REDACTED]

Rev. Form U5 (10/2005)

3. FULL TERMINATION

Is this a FULL TERMINATION? Yes No

Note: A "Yes" response will terminate ALL registrations with all SROs and all jurisdictions.

Reason for Termination: * Other * Provide an explanation below

FALSIFICATION OF INITIAL HIRING APPLICATION.

Rev. Form U5 (10/2005)

4. DATE OF TERMINATION

Date Terminated (MM/DD/YYYY): 05/02/2007

A complete date of termination is required for full or partial termination. This date represents the actual date that the termination of registration is effective.

Rev. Form U5 (10/2005)

6. AFFILIATED FIRM TERMINATION

No Information Filed

Rev. Form U5 (10/2005)

7. DISCLOSURE QUESTIONS

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IN SECTION 7 IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S). IF THE INFORMATION IN SECTION 7 HAS ALREADY BEEN REPORTED ON FORM U4 OR FORM U5, DO NOT RESUBMIT DRPs FOR THESE ITEMS. REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U5 INSTRUCTIONS FOR EXPLANATION OF ITALICIZED WORDS.

Investigation Disclosure

7A. Currently is, or at termination was, the individual the subject of an *investigation* or *proceeding* by a domestic or foreign governmental body or *self-regulatory organization* with jurisdiction over *investment-related* businesses? (Note: Provide details of an *investigation* on an Investigation Disclosure Reporting Page and details regarding a *proceeding* on a Regulatory Action Disclosure Reporting Page.)

YES NO

YES NO

Internal Review Disclosure

7B. Currently is, or at termination was, the individual under internal review for fraud or wrongful taking of property, or violating *investment-related* statutes, regulations, rules or industry standards of conduct?

YES NO

YES NO

Criminal Disclosure

7C. While employed by or associated with your *firm*, or in connection with events that occurred while the individual was employed by or associated with your *firm*, was the individual:

YES NO

1. convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any *felony*? YES NO

2. *charged* with any *felony*? YES NO

3. convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a *misdemeanor involving*: investments or an *investment-related* business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? YES NO

4. *charged* with a *misdemeanor* specified in 7(C)(3)? YES NO

Regulatory Action Disclosure

<p>7D. While employed by or associated with your <i>firm</i>, or in connection with events that occurred while the individual was employed by or associated with your <i>firm</i>, was the individual <i>involved</i> in any <i>disciplinary action</i> by a domestic or foreign governmental body or <i>self-regulatory organization</i> (other than those designated as a "<i>minor rule violation</i>" under a plan approved by the U.S. Securities and Exchange Commission) with jurisdiction over the <i>investment-related</i> businesses?</p>	<p>YES NO</p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p>
-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------

Customer Complaint/Arbitration/Civil Litigation Disclosure

<p>7E. 1. In connection with events that occurred while the individual was employed by or associated with your <i>firm</i>, was the individual named as a respondent/defendant in an <i>investment-related</i>, consumer-initiated arbitration or civil litigation which alleged that the individual was <i>involved</i> in one or more <i>sales practice violations</i> and which:</p> <p>(a) is still pending, or;</p> <p>(b) resulted in an arbitration award or civil judgment against the individual, regardless of amount, or;</p> <p>(c) was settled for an amount of \$10,000 or more.</p> <p>2. In connection with events that occurred while the individual was employed by or associated with your <i>firm</i>, was the individual the subject of an <i>investment-related</i>, consumer-initiated complaint, not otherwise reported under question 7 (E)(1) above, which alleged that the individual was <i>involved</i> in one or more <i>sales practice violations</i>, and which complaint was settled for an amount of \$10,000 or more?</p> <p>3. In connection with events that occurred while the individual was employed or associated with your <i>firm</i>, was the individual the subject of an <i>investment-related</i>, consumer-initiated, written complaint, not otherwise reported under questions 7(E)(1) or 7(E)(2) above, which:</p> <p>(a) would be reportable under question 14I(3)(a) on Form U4, if the individual were still employed by your <i>firm</i>, but which has not previously been reported on the individual's Form U4 by your <i>firm</i>; or</p> <p>(b) would be reportable under question 14I(3)(b) on Form U4, if the individual were still employed by your <i>firm</i>, but which has not previously been reported on the individual's Form U4 by your <i>firm</i>.</p>	<p>YES NO</p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p>
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Termination Disclosure

<p>7F. Did the individual voluntarily <i>resign</i> from your <i>firm</i>, or was the individual discharged or permitted to <i>resign</i> from your <i>firm</i>, after allegations were made that accused the individual of:</p> <p>1. violating <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?</p> <p>2. fraud or the wrongful taking of property?</p> <p>3. failure to supervise in connection with <i>investment-related</i> statutes, regulations, rules or industry standards of conduct?</p>	<p>YES NO</p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p> <p style="text-align: center;"><input type="radio"/> <input checked="" type="radio"/></p>
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8. SIGNATURE

Please Read Carefully

All signatures required on this Form U5 filing must be made in this section.

A "Signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

8A. FIRM ACKNOWLEDGMENT

This section must be completed on all U5 form filings submitted by the *firm*.

INDIVIDUAL ACKNOWLEDGMENT AND CONSENT

8B. This section must be completed on amendment U5 form filings where the individual is submitting changes to Part II of the INTERNAL REVIEW DRP or changes to Section 2 (CURRENT RESIDENTIAL ADDRESS).

8A. FIRM ACKNOWLEDGMENT

I VERIFY THE ACCURACY AND COMPLETENESS OF THE INFORMATION CONTAINED IN AND WITH THIS FORM.

Person to contact for further information
AMY RUSSO

Telephone # of person to contact
317-285-1296

Signature of Appropriate Signatory
PEGGY BENNETT

Date (MM/DD/YYYY)
05/16/2007

Signature _____

Rev. Form U5 (10/2005)

INVESTIGATION DRP

No Information Filed

Rev. Form U5 (10/2005)

INTERNAL REVIEW DRP

No Information Filed

Rev. Form U5 (10/2005)

CRIMINAL DRP

No Information Filed

Rev. Form U5 (10/2005)

TERMINATION DRP

No Information Filed

Rev. Form U5 (10/2005)

REGULATORY ACTION DRP

No Information Filed

Rev. Form U5 (10/2005)

CUSTOMER COMPLAINT/ARBITRATION/CIVIL LITIGATION DRP

No Information Filed


WorkCentre 7345 Transmission Report

GS ID

Date/Time: 09/05/2008; 10:54AM
Page: 1 (Last Page)

Local Name
Logo

Document has been sent.
Document Size 8.5X11"SEF



Snapshot Report Request Form

FINRA processes Snapshot Reports for persons who currently are or have been registered with a Broker/Dealer or Investment Adviser firm. If you are currently registered with a Broker/Dealer as a registered representative (RR) or Investment Adviser firm as an investment adviser (IA), you may request a Snapshot Report directly from the licensing or compliance department of your firm. FINRA will not accept requests from third parties.

Snapshot Reports will be mailed as soon as they are processed, which typically is three to five business days from the date FINRA receives a valid request. Please note, Snapshot Reports will be mailed only to a residential address. If you are currently registered, the Snapshot Report will be mailed only to the residential address of record in the CRD system. Snapshot Reports for formerly registered individuals may be mailed to (1) the residential address of record in the CRD system or (2) the residential address indicated below. Please note, formerly registered individuals continue to be subject to the jurisdiction of regulators for at least two years after their registration is terminated and may have to provide information about their activities while registered or associated with a firm. Therefore, formerly registered individuals who have residential address changes must forward such changes for two years following their termination date to: CRD Address Changes, P.O. Box 9485, Gaithersburg, MD 20898-9485.

Please print and complete the information below, including your signature. This form may be mailed or faxed to:

Mailing Address: FINRA
Registration Management
9509 Key West Avenue
Rockville, Maryland 20850
Fax Number: 240.386.4849

Full Name: WANDA QILMER
(first name) (middle name) (last name)

Phone Number: () () () () () ()

Social Security Number or CRD Number: () () () () () () () () () ()

Currently registered Individuals:
Your Snapshot Report will be mailed only to the residential address of record in the CRD system.

Formerly registered Individuals:
I hereby authorize FINRA to mail my Snapshot Report to:

My residential address of record in the CRD system.
 My residential address indicated below:

ROUSTON IL 20850
(city) (state) (zip code)

I hereby request a copy of my Snapshot Report and authorize FINRA to mail that report to me at the residential address of record in the CRD system or the above residential address, as applicable.

Signature: [Signature] Date: 9/5/08

Note: Data for Snapshot Reports are retrieved from the Web CRD system. Please be advised that data submitted prior to the deployment of Web CRD are retrieved from Legacy systems, which is no longer the system of record.

Snapshot Report Request Form—August 2007

No. Doc.	Remote Station	Start Time	Duration	Pages	Mode	Contents	Status
1	2964 12403864849	9- 5;10:54AM	22s	1/ 1	SG3		CP

Note:
 RE: Resend MB: Send to Mailbox BC: Broadcast MP: Multi Polling RV: Remote Service
 PG: Polling RB: Relay Broadcast RS: Relay Send BF: Box Fax Forward CP: Completed
 SA: Send Again EN: Engaged AS: Auto Send TM: Terminated



Snapshot Report Request Form

FINRA processes Snapshot Reports for persons who currently are or have been registered with a Broker/Dealer or Investment Adviser firm. If you are currently registered with a Broker-Dealer as a registered representative (RR) or Investment Adviser firm as an investment adviser (IA), you may request a Snapshot Report directly from the licensing or compliance department of your firm. FINRA will not accept requests from third parties.

Snapshot Reports will be mailed as soon as they are processed, which typically is three to five business days from the date FINRA receives a valid request. Please note, Snapshot Reports will be mailed only to a residential address. If you are currently registered, the Snapshot Report will be mailed only to the residential address of record in the CRD[®] system. Snapshot Reports for formerly registered individuals may be mailed to (1) the residential address of record in the CRD system or (2) the residential address indicated below. Please note, formerly registered individuals continue to be subject to the jurisdiction of regulators for at least two years after their registration is terminated and may have to provide information about their activities while registered or associated with a firm. Therefore, formerly registered individuals who have residential address changes must forward such changes for two years following their termination date to: CRD Address Changes, P.O. Box 9495, Gaithersburg, MD 20898-9495.

Please print and complete the information below, including your signature. This form may be mailed or faxed to:

Mailing Address: FINRA
Registration Management
9509 Key West Avenue
Rockville, Maryland 20850
Fax Number: 240.386.4849

Full Name: WANDA L GILMER
(first name) (middle name) (last name)

Phone Number: () - -

Social Security Number or CRD Number: [REDACTED]

Currently registered individuals:
Your Snapshot Report will be mailed only to the residential address of record in the CRD system.

Formerly registered individuals:
I hereby authorize FINRA to mail my Snapshot Report to:
 My residential address of record in the CRD system.
 My residential address indicated below:
[REDACTED]
(street address)
HILLSIDE IL [REDACTED]
(city) (state) (zip code)

I hereby request a copy of my Snapshot Report and authorize FINRA to mail that report to me at the residential address of record in the CRD system or the above residential address, as applicable.

Signature: [Signature] Date: 9/5/08
(required)

Note: Data for Snapshot Reports are generated from the Web CRD system. Please be advised that data submitted prior to the deployment of Web CRD are derived from Legacy CRD, which is no longer the system of record.



Financial Industry Regulatory Authority

September 05, 2008

WANDA GILMER

HILLSIDE, IL

Dear WANDA GILMER:

Attached is the Snapshot Report that you requested on September 5, 2008. Please disregard the numbering on the pages; it is for internal use only. If you are planning to forward this report, please retain a copy for your records.

For future requests, please complete and submit the Snapshot Report Request Form available on the FINRA Web Site at <http://www.finra.org/snapshot>. A copy of the form is attached for your convenience.

If you need additional assistance, you may contact the Gateway Call Center at 301.590.6500.

Sincerely,

Paraskevoula Hays
Senior Manager, Customer Response
Registration and Disclosure Department

Notice

CRD® or IARD(SM) Information: This report contains information from the CRD (Central Registration Depository) system, or the IARD system (Investment Advisers Registration Depository), which are operated by FINRA, a national securities association registered under the Securities Exchange Act of 1934. The CRD system primarily contains information submitted on uniform broker-dealer and agent registration forms and certain other information related to registration and licensing. The IARD system primarily contains information submitted on uniform investment adviser and agent registration forms and certain other information related to registration and licensing. The information on Uniform Forms filed with the CRD or IARD is deemed to have been filed with each regulator with which the applicant seeks to be registered or licensed and shall be the joint property of the applicant and such regulators. The compilation constituting the CRD database as a whole is the property of FINRA. Neither FINRA nor a participating regulator warrants or guarantees the accuracy or the completeness of the CRD or IARD information. CRD information consists of reportable and non-reportable information. FINRA operates the CRD system in its capacity as a registered national securities association and pursuant to an agreement with the North American Securities Administrators Association, Inc. (NASAA). FINRA operates the IARD system as a vendor pursuant to a contract with the Securities and Exchange Commission and undertakings with NASAA and participating state regulators. Reportable Information: Information that is required to be reported on the current version of the uniform registration forms. Non-Reportable Information: Information that is not currently reportable on a uniform registration form. Information typically is not reportable because it is out-of-date; it was reported in error; or some change occurred either in the disposition of the underlying event after it was reported or in the question on the form that elicited the information. Although not currently reportable, this information was once reported on a uniform form and, consequently, may have become a state record. Users of this information should recognize that filers have no obligation to update non-reportable data; accordingly, it may not reflect changes that have occurred since it was reported.

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: FINRA

Request Submitted: 09/05/2008

Individual: 5311699 - GILMER, WANDA LATRICE

Administrative Information:

Composite Information:

Full Legal Name: GILMER, WANDA LATRICE

Year of Birth: 1975

State of Residence: IL

<<No Current Active Employments for this Individual.>>

Reportable Disclosures? Yes

Statutorily Disqualification? BLNK

Registered With Multiple Firms? No

Material Difference in Disclosure? No

Registrations with Previous Employer(s):

From 03/20/2007 To 05/02/2007 ONEAMERICA SECURITIES, INC. (4173)

Reason for Termination: * Other

Termination Comment: FALSIFICATION OF INITIAL HIRING APPLICATION.

Regulator	Registration Category	Status Date	Registration Status	Approval Date
FINRA	IR	05/16/2007	T NOREG	

Professional Designations:

<< None found for this Individual: GILMER, WANDA LATRICE >>

Employment History:

From 05/2000 To Present: Name: AMERICAN UNITED LIFE INSURANCE COMPANY
 Location: WESTMONT, IL USA
 Position: CLIENT SERVICES COORDINATOR
 Investment Related: Yes

From 06/1998 To 04/2000 Name: SHARED TECHNOLOGIES FAIRCHILD
 Location: WOOD DALE, IL USA
 Position: BUSINESS DEVELOPMENT COORDINATOR
 Investment Related: No

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: FINRA

Request Submitted: 09/05/2008

Page 5

Individual: 5311699 - GILMER, WANDA LATRICE

Administrative Information:

Examination Information (cont):

Exam	Status	Status Date	Exam Date	Grade	Score	Window Dates
S6	OFFICIAL RESULT	05/15/2007	05/14/2007	NO SHOW		04/12/2007-08/10/2007

CE Regulatory Element Status:

Current CE Status: NOCESTATUS

CE Base Date:

Current CE

<<No Current CE Session Found >>

Next CE

<<No Next CE Found for this Individual.>>

CE Directed Sequence History

<<No CE Directed Sequence History Found for this Individual.>>

Inactive CE History Dates

<<No Inactive CE History Found for this Individual.>>

Previous CE Requirement Status

<<No Previous CE Session Found for this Individual.>>

Filing History:

Filing Date	Form Type	Filing Type	Source
05/16/2007	U5	FULL	Org CRD# 4173 ONEAMERICA SECURITIES, INC.
04/11/2007	U4	INITIAL	Org CRD# 4173 ONEAMERICA SECURITIES, INC.

Snapshot - Individual

CRD® or IARD(SM) System Report provided to: FINRA

Request Submitted: 09/05/2008

Individual: 5311699 - GILMER, WANDA LATRICE

Reportable Events:

Number of Reportable Events:

Bankruptcy:	1
Bond:	0
Civil Judicial:	0
Criminal:	0
Customer Complaint:	0
Internal Review:	0
Investigation:	0
Judgment/Lien:	0
Regulatory Action:	0
Termination:	0

Occurrence:	1347629	Disclosure Type:	Bankruptcy
FINRA Public Disclosable:	Y	Reportable:	Y
Material Difference in Disclosure:			N

Rev. Form U-4 (10/2005)

Form:	U-4	Received:	04/11/2007
Source: Organization CRD#	4173		
Questions:	14K(1)		

Bankruptcy /SIPC DRP Content

- Action Type: Bankruptcy
- Action Date/Explanation: 02/01/2004
I DO NOT HAVE THIS INFORMATION WITH ME.
- Organization:
- Court: UNITED STATES BANKRUPTCY COURT,
NORTHERN DISTRICT OF ILLINOIS, CASE
NUMBER 04-05558, CHAPTER 7.
- Currently Pending: N
- Disposition Type: Discharged
- Disposition Date/Explanation: 05/26/2004
- Summary of events:
HUSBAND BECAME UNEMPLOYED.
- Trustee/Payment:
Currently Open: N
Direct Payment Initiated Date/Explanation:
- Comment:

CRD® or IARD(SM) System - Current As Of 09/04/2008 11:40 PM
Snapshot - Individual

CRD® or IARD(SM) System Report provided to: FINRA

Request Submitted: 09/05/2008

Page 7

Individual: 5311699 - GILMER, WANDA LATRICE

Regulator Archive and Z Records:

<<No Regulator Archive and Z Records found for this Individual.>>

CRD® or IARD(SM) System Report -- See notice regarding CRD Data on cover page.

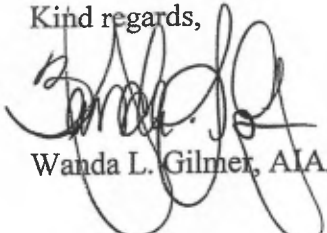
September 9, 2008

FINRA
Attn: Expungment Department
9509 Key West Avenue
Rockville, MD 20850

Attn: Expungment Department

Please find enclosed all documents for updating of my file, Wanda L. Gilmer. If you should require additional information, please feel free to contact me at either work (312) 946-9000, ext. 25 or home [REDACTED]. Thank you in advance.

Kind regards,



Wanda L. Gilmer, AIAA

2007
100

07 MAY 10 AM 11:40

CITY OF CALUMET CITY

RECEIVED BY
CITY CLERK'S OFFICE

FREEDOM OF INFORMATION REQUEST
FOR PUBLIC RECORDS

All requests must be made to the Office of City Clerk

REQUEST MADE BY:

DATE: MAY 9, 2007

NAME: WANDA L. GILMER

ADDRESS: [REDACTED]

BERKELEY, IL [REDACTED]

PHONE: [REDACTED]

The Illinois Freedom of Information Act guarantees the right by statute of any person to inspect and copy certain public records. 5 ILCS 140/1-7 et seq requires that written requests for public records made in a timely fashion and requested by the proper party permits an inspection and / or a copy of such records. The public body may charge a reasonable copying cost and upon request, such public records may be certified by the Clerk of the public body. The Act further provides that the information requested will be provided within seven business days unless the public body determines the need for an extension of time. 5 ILCS 140/7 provides several pages of exceptions to the Act. In order to determine whether or not the information requested is appropriate under the statute and/or whether or not one of the exceptions applies, please describe in detail the public records that you are requesting and state whether you desire to inspect or copy such records. It would be very helpful (but is not required) if you could state a specific reason you are requesting the records. For example, information which would reveal the identity of persons who filed complaints with or provide information to administrative, investigative, law enforcement or penal agencies is specifically exempted. Unless you help us by stating a specific reason you are requesting to view or copy such records, prompt response to your request may be delayed. Requests are forwarded to the City Attorney for review if needed, and then to the appropriate department to respond.

I am requesting copies of a Retail charge which occurred in June ~~1994~~ 1994. The purpose of the request is to have documentation of the outcome of charge for employment.

I hereby certify and will upon request swear and affirm that any purpose that I have agreed to state herein (voluntarily given) is the only purpose for which the documents are being requested.

[Signature] 5/9/07
Signature

FOR OFFICE USE ONLY:

Person receiving: MJD
Date referred: 5-10-07
Department referred to: PD

CALUMET CITY POLICE

PATRICK J. O'MEARA
CHIEF OF POLICE

1200 PULASKI ROAD
CALUMET CITY, IL 60409
(708) 868-2500

MICHELLE MARKIEWICZ QUALKINBUSH
MAYOR

MAY 11, 2007

WANDA L. GILMER

[REDACTED]
[REDACTED] 60163

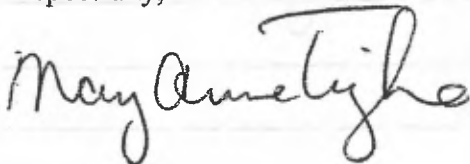
REF FOIA:

Per the guidelines set forth under 5 ILCS -140/7 et., sec., your request for information is being processed as follows:

Your request for arrest report and disposition on yourself, Wanda L. Gilmer, from June of 1994 has produced the following:

We are unable to provide you with the written report due to the age, of the report, per the State of Illinois is has been destroyed. You could contact the 6th District Court in Markham Illinois. They would have to go to their archives for that disposition of your case.

Respectfully,



MaryAnne Tighe
Records

cc: File
City Clerk
Requester

IN THE CIRCUIT COURT OF COOK COUNTY, ILLINOIS

THE PEOPLE OF THE STATE OF ILLINOIS
or
A MUNICIPAL CORPORATION

vs.

WANDA L. POWELL-GILMER
Defendant/Petitioner

CASE NO. 94600892701

Charge: RETAIL THEFT Date of Arrest: 6/24/94

Arresting Authority: CALUMET CITY I.D. NO: _____

Date of Birth: _____ Sex: F Race: BLACK (ISB, IR, FBI, DCN)

Return Records to Petitioner at:

ADDRESS: _____

CITY/STATE/ZIP: MAYWOOD, IL _____

PETITION TO EXPUNGE

The above named Defendant/Petitioner states under oath, that:

1. The Petitioner was arrested by the Arresting Authority on the date and for the offense stated
2. (a) The Petitioner was released without being convicted or, (b) The Petitioner was released without being convicted following a sentence of supervision and it has been two (2) years since discharge and dismissal of that supervision.
3. The Petitioner has not previously nor has he/she subsequently been convicted of any criminal offense or any municipal ordinance violation, including violations of 625 ILCS 5/4-400 and 5/11-204.1, formerly Chapter 4, and Section 11-204.1 of the Illinois Vehicle Code, and he/she has not since been arrested for any such offense and there are no criminal charges pending against him/her at the present time.
4. Under penalties provided by law pursuant to Section 1-109 of the Code of Civil Procedure, the undersigned Petitioner certifies that the statements set forth in this instrument are true and correct, except as to matters therein stated to be on information and belief and as to such matters the undersigned Petitioner certifies as aforesaid that he/she believes the same to be true.

WHEREFORE, the Petitioner asks the Court to expunge his/her arrest records and return the same to Petitioner at the address shown above.

FILED
JUN 08 2007
DOROTHY BROWN
CLERK OF CIRCUIT COURT

DATED: June 8, 2007

X [Signature]
DEFENDANT/PETITIONER

Received this _____ day of _____

Prepared by: WANDA L. GILMER
Address: _____
City/State/Zip: MAYWOOD, IL _____
Phone: _____
(Atty. No.): _____

State's Attorney or Prosecutor

THE PEOPLE OF THE STATE OF ILLINOIS

or
A MUNICIPAL CORPORATION

vs.

WANDA L. POWELL GILMER

Defendant/Petitioner

NO. 94600892701

ORDER TO EXPUNGE (AND SEAL)

FILED
JUL 10 2007
DOROTHY BROWN
CLERK OF CIRCUIT COURT

1. The court having found that the Defendant/Petitioner has been acquitted or released without being convicted

IT IS ORDERED THAT:

- A. CALUMET CITY POLICE DEPARTMENT ARRESTING POLICE AGENCY shall expunge this arrest from its records, and it is further directed that the Arresting Agency shall request the return of all identification materials from any other repositories and custodians of statistics that were previously notified of this arrest by the Arresting Agency;
- B. The Illinois State Police, Bureau of Identification, shall expunge their files of the record of this arrest;
- C. The Circuit Court Clerk shall seal this file and the name of the defendant shall be obliterated from the official index required to be kept by the Circuit Court Clerk.

2. The court having found that the Defendant/Petitioner has been released without being convicted following a sentence of supervision and it has been two (2) years since discharge and dismissal of that supervision;

IT IS ORDERED THAT:

- A. _____, ARRESTING POLICE AGENCY, shall expunge this arrest from its records, and it is further directed that the Arresting Agency shall request the return of all identification materials from any other repositories and custodians of statistics that were previously notified of this arrest by the Arresting Agency;
- B. The Illinois State Police, Bureau of Identification, shall expunge their files of the record of this arrest;
- C. The Circuit Court Clerk shall impound this file.

3. The court having found that the Defendant/Petitioner has been released without being convicted following a sentence of supervision for an offense listed in 20 ILCS 2630/5(a) and it has been five (5) years since discharge and dismissal of that supervision;

IT IS ORDERED THAT:

- A. _____, ARRESTING POLICE AGENCY, shall expunge this arrest from its records, and it is further directed that the Arresting Agency shall request the return of all identification materials from any other repositories and custodians of statistics that were previously notified of this arrest by the Arresting Agency;
- B. The Illinois State Police, Bureau of Identification, shall seal their files and records of this arrest and the record, once sealed, may be disseminated only as required by law;
- C. The Circuit Court Clerk shall impound this file.

ENTERED
JUL 11 2007
Judge
Ronald C. Riley - 0271

Prepared by:

Name: WANDA L. GILMER

Address: _____

City/State/Zip: MAYWOOD, IL

Phone: _____

Atty. No. _____

Date: 18 July 2007
Ronald C. Riley
Judge's No. 0271

CALUMET CITY POLICE

RUSSELL F. LARSON
CHIEF OF POLICE

1200 PULASKI ROAD
CALUMET CITY, IL 60409
(708) 868-2500

MICHELLE MARKIEWICZ QUALKINBUSH
MAYOR

Certified Mail # 7004 2890 0004 6176 7454

August 20, 2007

Wanda L Gilmer

██████████
Maywood, IL ██████████

RE: County Circuit Court Order 946008927
Wanda Powell-Gilmer

Dear Ms. Gilmer,

In accordance with the provisions regarding the referenced court order, the enclosures are forwarded to you.

The Circuit Clerk of Cook County, 6th District will submit the original expungement to the State of Illinois for expungement. The State of Illinois, who effective August 1, 1993 is the sole source contributor, will notify the Federal Bureau of Investigation (FBI) to expunge this record.

Sincerely,



Russell F. Larson
Chief of Police

Enc. CCI 26312

September 9, 2008

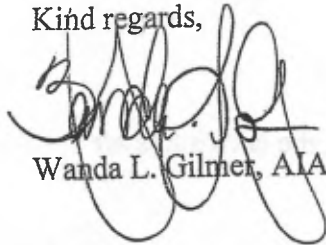
CRD Address Changes
P.O. Box 9495
Gaithersburg, MD 20898-9495

Please see as follows the address change for Wanda L. Gilmer, [REDACTED]:

Wanda L. Gilmer, AIAA
[REDACTED]
Hillside, IL [REDACTED]
Ph: [REDACTED]

Thank you in advance.

Kind regards,



Wanda L. Gilmer, AIAA



Wanda Gilmer [REDACTED] >

Record Update Request - Gilmer CRD# 5311699

Wanda Gilmer [REDACTED] >

Wed, Nov 16, 2016 at 12:40 PM

To: "Butani, Robert K" <Robert.Butani@finra.org>

Cc: "Shergill, Jasmine" <Jasmine.Shergill@finra.org>

Bcc: Freddie Gilmer <[REDACTED]> Anthony Mariani <anmariani@ameritech.net>

Ms. Shergill and Mr. Butani:

Thank you very much for the letter and quick turnaround. It appears that while the letter was sent to all previous addresses, it was not sent to the updated address submitted on September 5, 2008 to FINRA when requesting the Snapshot report and mailed to CRD Address Changes. I will, however, work directly with the SEC for future inquiries as you've directed.

Please advise and/or provide a copy of the referenced letters dated as follows within the Bar from Association as these were also possibly sent to previous addresses and not received:

1. October 10, 2008
2. November 3, 2008

You also advised that address updates should be directed to both FINRA and SEC. The address update requirement and timeline indicated on the Snapshot Report Request Form - August 2007, which is attached for your reference, differ from the instructions below. To ensure the appropriate address is on file for future mailings, I will craft a letter today, November 16, 2016 and mail to the addresses provided below respectively.

Thank you again.

Kind regards,
Wanda L Gilmer

On Tue, Nov 15, 2016 at 4:05 PM, Butani, Robert K <Robert.Butani@finra.org> wrote:

Jasmine. Wow you found the letter. Good work! Looks like it went to all her addresses too.

From: Shergill, Jasmine
Sent: Tuesday, November 15, 2016 4:24 PM
To: gilmerwl**Cc:** Butani, Robert K
Subject: RE: Record Update Request - Gilmer CRD# 5311699

Ms. Gilmer:

Clarification: You were barred on April 13, 2009 pursuant to FINRA Rule 9552. Please see attached Bar from Association letter for details.

11/16/2016

Gmail - Record Update Request - Gilmer CRD# 5311699

Regards,

Jasmine

Jasmine K. Shergill

Senior Attorney

Department of Enforcement

Financial Industry Regulatory Authority (FINRA)

One World Financial Center, 11th Floor

200 Liberty Street, New York, NY 10281

Tel: 212-858-4161 | Email: jasmine.shergill@finra.org

From: gilmerw[REDACTED]
Sent: Monday, November 14, 2016 11:04 AM
To: Shergill, Jasmine
Cc: Butani, Robert K
Subject: RE: Record Update Request - Gilmer CRD# 5311699

Ms. Shergill:

Thank you again. I'll follow up with you on the copy of the letter in 7 business days.

Kind regards,

Wanda L Gilmer

Sent from my T-Mobile 4G LTE Device

----- Original message -----

From: "Shergill, Jasmine" <Jasmine.Shergill@finra.org>
Date: 11/14/16 9:21 AM (GMT-06:00)
To: Wanda Gilmer [REDACTED]
Cc: "Butani, Robert K" <Robert.Butani@finra.org>
Subject: RE: Record Update Request - Gilmer CRD# 5311699

Ms. Gilmer:

You were permanently barred from associating with any FINRA member in any capacity pursuant to NASD Rule 9552 (now FINRA Rule 9552) on April 13, 2009 for your failure to respond to FINRA's requests for information pursuant to NASD Rule 8210 (now FINRA Rule 8210). FINRA's decision stands. The SEC is the entity that would have the authority to potentially lift the bar. As stated below, however, your timeline for an appeal to the SEC has passed. Please direct further inquiries to the SEC contact information noted below.

Regards,

Jasmine K. Shergill

Senior Attorney

Department of Enforcement

Financial Industry Regulatory Authority (FINRA)

One World Financial Center, 11th Floor

200 Liberty Street, New York, NY 10281

Tel: 212-858-4161 | Email: jasmine.shergill@finra.org

From: Wanda Gilmer [REDACTED]
Sent: Friday, November 11, 2016 6:21 PM
To: Shergill, Jasmine
Cc: Butani, Robert K
Subject: Re: Record Update Request - Gilmer CRD# 5311699

Ms. Shergill:

Thank you for entering the request on my behalf. I'll make note to follow up within 7 business days should I not hear from you or a member of FINRA.

If you would help me, or direct me accordingly, to understand the instruction to engage the SEC would be appreciated. I don't understand the direction to appeal the Office of Secretary SEC if FINRA is the entity that has barred me from the industry. I'm only finding this information out earlier this week so while I apologize for the questions, I appreciate the assistance.

Thank you again.

Kind regards,

Wanda L Gilmer

Ph: [REDACTED]

On Fri, Nov 11, 2016 at 10:06 AM, Shergill, Jasmine <Jasmine.Shergill@finra.org> wrote:

Ms. Gilmer:

We have put in a file request and will make efforts to obtain the Bar from Association letter, if possible. Please allow some time given the age of the matter.

Regards,

Jasmine K. Shergill

Senior Attorney

Department of Enforcement

Financial Industry Regulatory Authority (FINRA)

One World Financial Center, 11th Floor

200 Liberty Street, New York, NY 10281

Tel: 212-858-4161 | Email: jasmine.shergill@finra.org

From: Wanda Gilmer [REDACTED]
Sent: Thursday, November 10, 2016 2:42 PM
To: Shergill, Jasmine
Cc: Butani, Robert K
Subject: Re: Record Update Request - Gilmer CRD# 5311699

Ms. Shergill:

Thank you for the information and instruction. I will follow and proceed accordingly.

As stated below, the last communication I received from FINRA was September 2008 and included a requested report only. If you would please advise as to where I may obtain a copy of the FINRA's Bar from Association letter would be most appreciated.

Thank you again.

Kind regards,

Wanda L Gilmer

Ph: [REDACTED]

On Thu, Nov 10, 2016 at 1:03 PM, Shergill, Jasmine <Jasmine.Shergill@finra.org> wrote:

Dear Ms. Gilmer:

Please be advised that on April 13, 2009, you were barred from associating with any FINRA member in any capacity pursuant to NASD Rule 9552 (now FINRA Rule 9552). If you seek to appeal FINRA's regulatory action to the U.S. Securities and Exchange Commission (SEC), you must file an application with the SEC at the address listed below. Please note that to comply with the SEC's rule regarding timeliness, you were required to file the application for review within thirty days of your receipt of FINRA's Bar from Association letter. Also, a copy of the application, as well as copies of all documents you file with the SEC in connection with this matter, must be sent to FINRA. The SEC and FINRA addresses are as follows:

Office of the Secretary

U.S. Securities and Exchange Commission

100 F Street, NE

Mail Stop 1090

Washington, DC 20549

Alan Lawhead, Esq.

Office of General Counsel

FINRA

1735 K Street, NW

Washington, DC 20006

If you file an application for review with the SEC, the application must identify the FINRA case number (2007009120401) and set forth in summary form a brief statement of alleged errors in the determination and the supporting reasons. You must also include an address where you may be served and phone number where you may be reached during business hours. If your address or phone number changes, you must advise the SEC and FINRA.

Questions regarding the appeal process may be directed to the Office of the Secretary at the SEC. The phone number of that office is (202) 551-5400.

Regards,

Jasmine K. Shergill

Senior Attorney

Department of Enforcement

Financial Industry Regulatory Authority (FINRA)

One World Financial Center, 11th Floor

200 Liberty Street, New York, NY 10281

Tel: 212-858-4161 | Email: jasmine.shergill@finra.org

From: gilmerwl [REDACTED]
Sent: Thursday, November 10, 2016 9:02 AM
To: Butani, Robert K
Cc: Wanda Gilmer
Subject: Record Update Request - Gilmer CRD# 5311699

Good Morning Robert:

I am following up on the below and attached. Please don't hesitate to contact me if you should require anything additional.

Thank you in advance.

Kind regards,
Wanda L Gilmer
Ph: [REDACTED]

Sent from my T-Mobile 4G LTE Device

----- Original message -----

From: Wanda Gilmer [REDACTED]
Date: 11/8/16 2:08 PM (GMT-06:00)
To: robert.butani@finra.org
Cc: Wanda Gilmer [REDACTED]
Subject: Fwd: Record Update Request - Gilmer CRD# 5311699

Hello Robert:

My name is Wanda Gilmer CRD# 5311699 and I'm writing to you today because only yesterday, November 8th, 2016 was I made aware that I am 'barred' from the industry. Please allow me to share with you what I know.

In August of 2007, I responded to an inquiry from Lisa Schaffer with FINRA. Per her request, I responded in detail to her inquiries meeting the appropriate due date. In September 2008, I submitted duplicate copies of my response along with court documentation to the Expungment Department. The last communication I received from FINRA was the Snapshot Report that I requested on September 5th, 2008. Effectively, since September 2008 and only up until yesterday, I was unaware that any action was required on my part nor was I aware that I had any issues facing me with FINRA.

I would like to reference the response to Lisa Shaffer in 2007 acknowledging I incorrectly answered Form U-4, question 8. This was done completely without malicious or deceptive intent. In light of the fact that the incident occurred in 1994 and I was found not guilty in a court of law is the reason I answered question 8 the way I did. I now realize that I misinterpreted the question and should have answered yes. When the response was brought to my attention, I immediately took action to update and provide the appropriate documents respectively.

It is my hope that you can assist me in correcting this situation. For your reference and review, I've attached supporting documents. Please advise as to what steps I need to take that will lead me to reinstating my good status and remain in the industry. Should you wish to contact me, please feel free to do so via e-mail at: [REDACTED] or phone [REDACTED]. Thank you in advance.

Kind regards,

Wanda L Gilmer
[REDACTED]

Confidentiality Notice:: This email, including attachments, may include non-public, proprietary, confidential or legally privileged information. If you are not an intended recipient or an authorized agent of an intended recipient, you are hereby notified that any dissemination, distribution or copying of the information contained in or transmitted with this e-mail is unauthorized and strictly prohibited. If you have received this email in error, please notify the sender by replying to this message and permanently delete this e-mail, its attachments, and any copies of it immediately. You should not retain, copy or use this e-mail or any attachment for any purpose, nor disclose all or any part of the contents to any other person. Thank you.



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394K



Financial Industry Regulatory Authority

VIA FEDERAL EXPRESS OVERNIGHT AND FIRST CLASS MAIL

October 10, 2008

Wanda Gilmer

[REDACTED]
Berkeley, IL [REDACTED]

Re: Notice of Suspension (NASD Rule 9552)
Wanda Gilmer, CRD No. 5311699
Matter No. 20070091204

Dear Ms. Gilmer:

Notice of Suspension

PLEASE TAKE NOTICE that on November 3, 2008, (the "Suspension Date"), pursuant to NASD Rule 9552 of the FINRA Code of Procedure, you will be suspended from associating with any FINRA member in any capacity because you failed to provide information to FINRA, which had been requested from you in accordance with and pursuant to NASD Rule 8210. Specifically, you failed to:

Respond to 8210 Request for Information Letters on June 12, 2007 and August 3, 2007.

Copies of the subject request letters are attached.

If you take corrective action by complying with the requests before the Suspension Date, the suspension will not take effect. Nonetheless, you may still be subject to a disciplinary action for your failure to respond timely to a request for information under NASD Rule 8210.

Investor protection. Market integrity.

Chicago District Office
55 West Monroe Street, Suite 2700
Chicago, IL 60603-5052

t 312 899 4400
f 312 606 0742
www.finra.org

Wanda Gilmer
October 10, 2008
Page 2

Request for Hearing

Under NASD Rule 9552(e), you may request a hearing in response to this Notice. Any hearing request must be in writing, state with specificity any and all defenses to the suspension and be filed with the Office of Hearing Officers. Any request for a hearing shall be made before the Suspension Date. A timely request for a hearing will stay the effective date of any suspension and NASD Rule 9559 will govern the hearing. Your hearing request should be directed to:

FINRA Office of Hearing Officers
1801 K Street, NW, Suite 301
Washington, DC 20006

Pursuant to NASD Rules 8310(a) and 9559(n), a Hearing Officer or, if applicable, a Hearing Panel, may approve, modify or withdraw any and all sanctions or limitations imposed by this Notice and may impose any other fitting sanction.

Request for Termination of the Suspension

Under NASD Rule 9552(f), if you are suspended, you may file a written Request for Termination of the Suspension on the ground of full compliance with this Notice. Such request must be filed with:

James Shorris, Executive Vice President, Enforcement
FINRA
c/o Jill L. Jablonow, Regional Counsel
300 South Grand Avenue, Suite 1600
Los Angeles, CA 90071

and

FINRA Office of Hearing Officers
1801 K Street, NW, Suite 301
Washington, DC 20006

Default

If you fail to request termination of the suspension within six (6) months of the date of this Notice of Suspension, you will automatically be barred on April 13, 2009 from associating with any FINRA member in any capacity. See NASD Rule 9552(h).

FINRA

Financial Industry Regulatory Authority

Sent Via First Class U.S. Mail and Certified Mail (7160 3901 9849 8547 8652)

August 3, 2007

Ms. Wanda L. Gilmer

[REDACTED]
Maywood, Illinois [REDACTED]

Re: FINRA Examination 20070081204
CRD No. 4173

Dear Ms. Gilmer:

On June 12, 2007, I sent a letter to you requesting information with regard to a U-5 filing submitted by OneAmerica Securities, Inc., on your behalf. The filing reads that you failed to disclose to the firm and on your Application for Registration (Form U-4) an arrest in 1994. My letter requested that the information be provided to this office by June 29, 2007. To date, I have not received the requested information.

If you are not currently associated with a FINRA firm, please be advised that you are responsible for notifying FINRA in writing of any home or mailing address change. Your correspondence should also be directed to: FINRA Central Registration Depository Public Disclosure Department, Attn: Research, 3090 Key West Avenue, Rockville, MD 20850.

It is imperative that the previously requested materials arrive in this office on or before August 17, 2007. This *second request* is made pursuant to NASD Rule 8210. That rule requires a member firm and persons associated with a member firm to provide information with respect to any matter involved in an investigation, complaint, or proceeding. Please be advised that the failure to comply with this request may subject you to disciplinary action.

For information Market integrity.

FINRA
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1000
1000

FINRA Examination 20070091204
CRD No. 4173
Page 2

If you have any questions, please contact me at (312) 899-4650.

Sincerely,

Lisa D. Schaffer

Lisa D. Schaffer
Compliance Examiner

nr/reedn/harris/schaffer/20070091204 08032007.doc

Enclosure

cc: Peggy Ann Bennett
Chief Compliance Officer
OneAmerica Securities, Inc.
One American Square
P.O. Box 1984
Indianapolis, Indiana 46208

Sent Via First Class U.S. Mail and Certified Mail (7100 3901 3319 5547 5605)

Ms. Wanda L. Gilmer

Lot 1F

Berkeley, Illinois

NASD

Sent Via First Class U.S. Mail and Certified Mail (7160 3901 9849 8547 8447)

June 12, 2007

Wanda L. Gilmer
[REDACTED]

Berkeley, Illinois [REDACTED]

Re: NASD Examination 20070091204 / OneAmerica Securities, Inc.
CRD No. 4173

Dear Ms. Gilmer:

This office is conducting an inquiry regarding a Form U-5 (Uniform Termination Notice for Securities Industry Registration) filing by OneAmerica Securities, Inc. concerning you. The filing reveals that you falsified information on your initial employment application regarding a prior arrest for theft.

To facilitate our inquiry, it is requested that you provide the following:

1. Please provide a detailed written and signed statement addressing the allegations identified in the above paragraph. Your response shall include, but not be limited to explaining why you apparently falsified this information and/or failed to disclose the criminal charges on your Form U-4 application and to OneAmerica Securities. Clearly state whether or not you failed to provide the firm with relevant documents and information to make it possible for the firm to timely updated your U-4 to disclose criminal charges.
2. Provide proof, i.e. court documents, concerning the arrest and final disposition of the criminal charges. Please include all court documents received regarding these charges.
3. Please provide a written statement describing our understanding of the events surrounding your arrest and criminal charges, who at the firm you notified and when. Please also indicate the dates of any court proceedings.
4. As you were in the process of completing the licensing examination for the Investment Company Products/Variable Contracts Representative (Series 6), provide a written statement describing your understanding of OneAmerica Securities, Inc. procedures regarding registered representatives' obligation to update their Form U-4 applications to disclose certain reportable events and notify the firm of any changes in information on their U-4. Your response should clearly state whether you were aware that you were required to disclose your criminal charge(s) to the firm.

Investor protection.

Chicago District Office
55 West Madison Street, Suite 2100
Chicago, IL 60603-5002

June 12, 2007
Wanda L. Gilmer
Berkeley, Illinois

NASD Examination 20070091204 / OneAmerica Securities, Inc.
CRD No. 4173
Page 2

5. If your attorney prepares your response, we require that you sign or countersign the letter.
6. Any other information that you feel would be pertinent to this investigation.

You are requested to provide your response to the Chicago District Office by **June 29th, 2007**.

This request is being made pursuant to NASD Procedural rule 8210, which requires persons associated (or formerly associated) with a member firm to provide information regarding any matter involved in an investigation. Failure to respond to this request may result in disciplinary action. Please note that this is a preliminary inquiry and request for information; as such it does not require reporting under Question 141 of the Form U-4 regarding notice of investigations.

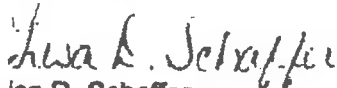
If you are not currently associated with an NASD member firm, please be advised that you are responsible for notifying this office in writing of any home or mailing address change. Your correspondence regarding an address change should be directed to:

NASD Central Registration Depository
Public Disclosure Department, Attn: [redacted]
3080 Key West Avenue
Rockville, Maryland 20850

Should you have any questions, you may contact me by calling (312) 899-4650.

Thank you for your assistance and cooperation in this matter.

Sincerely,



Lisa D. Schaffer
Compliance Examiner

FINRA

Financial Industry Regulatory Authority

VIA FEDEX OVERNIGHT DELIVERY AND FIRST CLASS MAIL

November 3, 2008

Wanda Gilmer

[REDACTED]
[REDACTED]
Berkeley, IL [REDACTED]

Wanda Gilmer

[REDACTED]
[REDACTED]
Berkeley, IL [REDACTED]

Re: Suspension from Association with any FINRA Member (NASD Rule 9552)
Wanda Gilmer, CRD No. 5311699
Matter No. 20070091204

Dear Ms. Gilmer:

Please be advised that, pursuant to NASD Rule 9552 of the FINRA Code of Procedure and in accordance with FINRA's Notice of Suspension letter dated October 10, 2008 ("Notice of Suspension"), you were suspended on November 3, 2008, from associating with any FINRA member in any capacity.

Under NASD Rule 9552(f), you may file a written Request for Termination of the Suspension on the ground of full compliance with the Notice of Suspension. Such request must be filed with:

Susan L. Merrill, Executive Vice President, Chief of Enforcement
c/o Jill L. Jablonow, Senior Regional Counsel
FINRA
300 South Grand Avenue, Suite 1600
Los Angeles, CA 90071

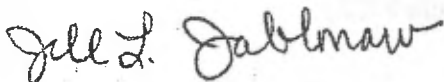
Wanda Gilmer
November 3, 2008
Page 2

If you fail to request termination of the suspension within six (6) months of the date of the original Notice of Suspension, you will automatically be barred on April 13, 2009 from associating with any FINRA member in any capacity. See NASD Rule 9552(h).

Based upon the advice of the U.S. Postal Service and law enforcement authorities, FINRA and its family of companies will no longer open or accept any mail (envelopes or packages) that does not have complete return names and addresses. Please be sure when sending mail to FINRA that your information is fully and appropriately labeled.

If you have any questions, or if you would like another copy of the Notice of Suspension, please contact the undersigned.

Very truly yours,



Jill L. Jablonov
Senior Regional Counsel

cc: Richard A. March, Senior Regional Counsel
Carlotta A. Romano, Senior Vice President and Regional Director



VIA FEDEX OVERNIGHT DELIVERY AND FIRST CLASS MAIL

April 13, 2009

Wanda Gilmer
[REDACTED]
[REDACTED]
Berkeley, IL [REDACTED]

Wanda Gilmer
[REDACTED]
[REDACTED]
Berkeley, IL [REDACTED]

Wanda Gilmer
[REDACTED]
[REDACTED]
Justice, IL [REDACTED]

Wanda Gilmer
[REDACTED]
[REDACTED]
Chicago, IL [REDACTED]

Re: Bar from Association with any FINRA member (FINRA Rule 9552)
Wanda Gilmer, CRD No. 5311699
Matter No. 20070091204

Dear Ms. Gilmer:

Please be advised that, pursuant to FINRA Rule 9552(h) of FINRA's Code of Procedure and, in accordance with FINRA's Notice of Suspension letter dated October 10, 2008 and the Suspension from Association letter dated November 3, 2008, you were barred from associating with any FINRA member in any capacity on April 7, 2009.

If you seek to appeal this regulatory action to the U.S. Securities and Exchange Commission (SEC), you must file an application with the SEC at the address listed below. To comply with the SEC's rule regarding timeliness, you must file the application for review within thirty days of your receipt of this letter. Also, a copy of the application, as well as copies of all documents you file with the SEC in connection with this matter, must be sent to FINRA. The SEC and FINRA addresses are as follows:

Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, NE
Mail Stop 1090
Washington, DC 20549

Alan Lawhead, Esq.
Office of General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006

Any documents provided to the SEC via facsimile or overnight mail should also be provided to FINRA by similar means.

Wanda Gilmer
April 13, 2009
Page 2

If you file an application for review with the SEC, the application must identify the FINRA case number and set forth in summary form a brief statement of alleged errors in the determination and the supporting reasons. You must also include an address where you may be served and phone number where you may be reached during business hours. If your address or phone number changes, you must advise the SEC and FINRA. Attorneys must file a notice of appearance.

Based upon the advice of the U.S. Postal Service and law enforcement authorities, FINRA and its family of companies will no longer open or accept any mail (envelopes or packages) that does not have complete return names and addresses. Please be sure when sending mail to FINRA that your information is fully and appropriately labeled.

Questions regarding the appeal process may be directed to the Office of the Secretary at the SEC. The phone number of that office is (202) 551-5400.

Very truly yours,



Jill L. Jablonow
Senior Regional Counsel

cc: Richard A. March, Senior Regional Counsel
Carlotta A. Romano, Senior Vice President and Regional Director

January 6, 2017

Anthony N. Mariani

██████████
Mount Prospect, IL ██████████

To Whom It May Concern:

It is my pleasure and with complete confidence that I write this letter of reference for Wanda Gilmer.

I have known Wanda both professionally and personally for over 15 years and I can say without doubt that you are dealing with a person of great personal character. It is evident to both me and those around her of her deep dedication to her family and work life. It is important to me in both my personal and business life to surround myself with people that I can trust to have my best interest at stake and by far, Wanda is in that circle. Should I ever need for anything, she is there and willing.

Wanda is gifted in many ways but her work ethic and intense devotion to being the consummate professional is what sets her apart from most. I am confident that she will be successful in whatever she embarks on and I look forward to knowing her for many years to come.

Should you have any questions, you are more than welcome to reach out to me.

Respectfully,

A handwritten signature in black ink, appearing to be 'Anthony N. Mariani', written over a horizontal line.

Anthony N. Mariani

Amy W. Lacey

To whom it may concern,

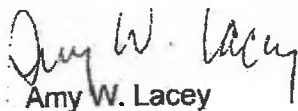
I am writing to tell you of the many fine qualities of Wanda Gilmer, whom I have known since 2004 in various capacities, including a co-worker, colleague and a very close personal friend.

Beginning in 2004, we worked very closely together for 3 years. I could not have done my job without Wanda's knowledge, professionalism and friendly customer service. She made my job easier. While getting to know her during this time, I can say without a doubt that she is a great person of very good moral character. Wanda operates with integrity, and is a true team player, she never has a bad word to say about anyone. She is also hard working and dedicated, and never leaves a job unfinished. These are characteristics that are hard to find in the financial services industry these days. Her dedication and loyalty is further proved by her long tenures with OneAmerica Retirement Services and Transamerica Retirement Services.

When we were no longer co-workers, we remained very close personal friends. She has always been extremely involved in the lives of my children. When both of my kids were born, Wanda was one of the first people at the hospital with us. When our second child was born in 2011, we discovered he has [REDACTED]. This was an extremely trying time for us as we learn our new path in life. Wanda was right there with us the whole time and helped us learn how to best help our son. From when we were in the hospital when we received the diagnosis to all 5 of the Chicagoland Buddy Walks we have been involved with to raise funds for [REDACTED], Wanda has always been right there with us. We do not know what we would do with her loyalty, compassion and friendship.

I have no doubt about her abilities as a professional, friend and all around good person. Her honesty, dedication have always been commended.

Thank you,


Amy W. Lacey

[REDACTED], Chicago, IL [REDACTED]

Cell: [REDACTED]

To whom it may concern,

I'm writing to share with you my endorsement of Wanda Gilmer for your vacant position, an individual whom I know to be highly intelligent, talented, motivated and team-centric.

I had the privilege of working closely with Wanda for over 6 years, during which time she acted as my executive assistant while running the national sales organization. She distinguished herself as a tireless worker, entirely committed to the well-being of our organization and the development of my division. She is timely, responsive, proactive and resourceful. Further, she knew when to solicit guidance and when to go it alone, resulting in an invaluable support structure that enabled me to focus on pressing priorities.

In addition to my experiences, I can attest to numerous instances of appreciation from both internal and external audiences regarding Wanda's contributions. She was very much viewed as a key member of our team and had earned the reputation as someone who could help to drive execution on a number of fronts.

Lastly, I have had the chance to get to know Wanda and her family beyond the professional environment, and I say without a doubt that you are dealing with a person of very good ethical character. She cares about her job and her performance, but more so about those around her. I, in turn, care very much about her well-being, and to that end I highly recommend her for your opening.

Please let me know if I can be of further assistance.

All the best,

Jason Crane
Executive Director, Business Development
Transamerica

To whom it may concern;

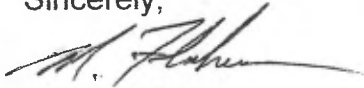
12/20/2016

I am writing this letter to provide a character reference for Wanda Gilmer. I have worked with Wanda Gilmer at OneAmerica/ AUL previously for seven years from 2000-2007. During the time I worked with Wanda, I became very familiar with her personality and work ethic and am happy to share my impressions with you.

I have great respect for Wanda and feel that she would be an asset to any organization. Wanda displayed a willingness to help co-workers as well as leadership traits as a self-starter. Wanda is a team player with integrity.

I feel certain that the experience you have with Wanda will be similar to what I observed during the time we worked together. If I can be of further assistance, please let me know.

Sincerely,



Michael S. Flahaven
Retirement Plan Consultant
The Standard
(708) 819-0509

