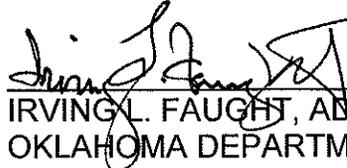


FURTHER AFFIANT SAYETH NOT.

Dated this 27th day of January, 2012.

(SEAL)

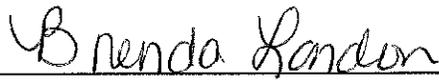


IRVING L. FAUGHT, ADMINISTRATOR OF THE
OKLAHOMA DEPARTMENT OF SECURITIES

Subscribed and sworn to before me this 27th day of January, 2012.

(SEAL)

 BREANDA LONDON
Notary Public
State of Oklahoma
Commission # 05009046 Expires 09/28/13



Notary Public

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES
THE FIRST NATIONAL CENTER, SUITE 860
120 NORTH ROBINSON
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Roxanne Morrissey (CRD #5335151),

Respondent.

ODS File No. 12-029

NOTICE OF OPPORTUNITY FOR HEARING

1. Pursuant to Section 1-602 of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (Supp. 2010), the Enforcement Division of the Oklahoma Department of Securities ("Department") conducted an investigation into the activities of Roxanne Morrissey (Respondent), in connection with the offer, sale and/or purchase of securities in and/or from Oklahoma.

2. On the 27th day of January, 2012, the attached Enforcement Division Recommendation ("Recommendation") was left in the office of the Administrator of the Oklahoma Department of Securities ("Administrator").

3. Pursuant to 660:2-9-1 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities (as amended July 1, 2007) ("Rules") and Section 1-411 of the Act, the Administrator hereby gives notice to Respondent of her obligation to file an answer and her right to request a hearing to show why an order based on the Recommendation should not be issued.

4. The answer must be in writing and received by the Administrator within fifteen (15) days after service of this Notice. As required by 660:2-9-2 of the Rules, the answer shall indicate whether Respondent requests a hearing and shall specifically admit or deny each allegation contained in the Recommendation or state that Respondent do not have, and are unable to obtain, sufficient information to admit or deny each allegation.

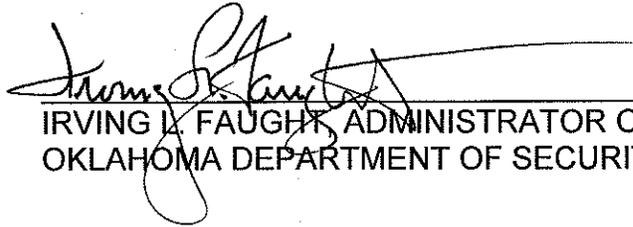
5. Failure to file an answer in compliance with 660:2-9-2 of the Rules, to include a request for a hearing as provided for herein, shall result in the issuance of an order barring Respondent from future registration under the Act in any capacity and barring Respondent from association with a broker-dealer or investment adviser in any capacity.

6. Upon receipt of a written request, pursuant to 660:2-9-2 of the Rules, a hearing on the Recommendation shall be promptly scheduled or a written order denying hearing shall be issued.

7. Notice of the date, time and location of the hearing shall be given to Respondents not less than forty-five (45) days in advance thereof, pursuant to 660:2-9-2 of the Rules.

Witness my Hand and the Official Seal of the Oklahoma Department of Securities this 27th day of January, 2012.

(SEAL)



IRVING L. FAUGHT, ADMINISTRATOR OF THE
OKLAHOMA DEPARTMENT OF SECURITIES

CERTIFICATE OF MAILING

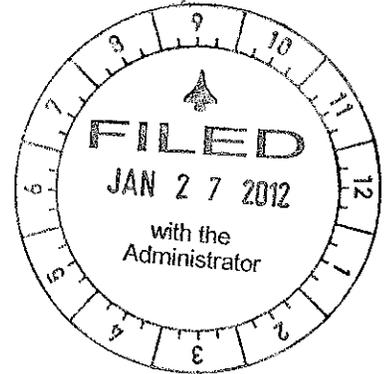
The undersigned hereby certifies that on the 27th day of January, 2012, a true and correct copy of the above and foregoing *Notice of Opportunity for Hearing* and the *Enforcement Division Recommendation* were mailed by certified mail, return receipt requested, delivery restricted, with postage prepaid thereon, addressed to:

Roxanne Michelle Morrissey
1104 Buckingham
Newcastle, OK 73065-4159



Brenda London, Paralegal

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES
THE FIRST NATIONAL CENTER, SUITE 860
120 NORTH ROBINSON
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Roxanne Morrissey (CRD #5335151),

Respondent.

ODS File No. 12-029

ENFORCEMENT DIVISION RECOMMENDATION

Pursuant to Section 1-602 of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (Supp. 2010), the Oklahoma Department of Securities ("Department") conducted an investigation into the activities of Roxanne Morrissey ("Respondent"). Based thereon, the Enforcement Division of the Department submits the following Findings of Fact, Authorities, and Conclusions of Law to the Administrator of the Department ("Administrator") in support of sanctions against Respondent.

Findings of Fact

1. Respondent was registered under the Act as an agent of Allstate Financial Services, LLC (Allstate) from May of 2007 until her discharge in September of 2011. At all times material hereto, Respondent was concurrently registered with the Financial Industry Regulatory Authority ("FINRA"). Respondent operated from an Allstate branch office in Newcastle, Oklahoma.
2. At all times material hereto, Respondent was an insurance agent for Allstate Insurance Company (Allstate Insurance).
3. In or about July of 2011, Respondent deposited an Allstate customer's \$3,313.96 check made payable to "Allstate Insurance Company" into Respondent's personal bank account. The check memo indicated the payment was for automobile insurance.
4. On September 14, 2011, Respondent was terminated by Allstate for failing to comply with the policy that "all payments collected or received by an agency on behalf of Allstate are the property of the company, must be treated as trust funds, and must be promptly accounted for and transmitted to the company without deduction for any purpose in the manner specified by the company[.]"

To the extent any of these Findings of Fact are more properly characterized as Conclusions of Law, they should be so considered.

Authorities

1. Section 1-411 of the Act provides, in pertinent part:

B. If the Administrator finds that the order issued is in the public interest and subsection D of this section authorizes the action an order issued under this act may revoke, suspend, condition, or limit the registration of a registrant and if the registrant is a broker-dealer or investment adviser, any partner, officer, or director, any person having a similar status or performing similar functions, or any person directly or indirectly controlling the broker-dealer or investment adviser.

C. If the Administrator finds that the order is in the public interest and paragraphs 1 through 6, 8, 9, 10, 12 or 13 of subsection D of this section authorizes the action, an order under this act may censure, impose a bar, impose a civil penalty in an amount not to exceed a maximum of Five Thousand Dollars (\$5,000.00) for a single violation or Two Hundred Fifty Thousand Dollars (\$250,000.00) for multiple violations on a registrant, and/or recover the costs of the investigation from a registrant and if the registrant is a broker-dealer or investment adviser, from any partner, officer, or director, any person having a similar function or any person directly or indirectly controlling the broker-dealer or investment adviser.

D. A person may be disciplined under subsections A through C of this section if the person:

* * *

2. Has willfully violated or willfully failed to comply with this act or the predecessor act or a rule adopted or order issued under this act or the predecessor act within the previous ten (10) years;

* * *

13. Has engaged in dishonest or unethical practices in the securities, commodities, investment, franchise, banking, finance or

insurance business within the previous ten (10) years[.]

Conclusions of Law

1. Respondent engaged in dishonest or unethical practices in the insurance business within the previous ten (10) years.

2. The Administrator is authorized to bar Respondent from registration under the Act in any capacity and/or from association with a broker-dealer or investment adviser in any capacity, pursuant to Section 1-411 of the Act.

3. It is in the public interest for the Administrator to bar Respondent from registration under the Act in any capacity, bar Respondent from association with a broker-dealer or investment adviser in any capacity, and/or imposing such other sanctions as appropriate or authorized by law.

To the extent any of these Conclusions of Law are more properly characterized as Findings of Fact, they should be so considered.

WHEREFORE, it is recommended that the Administrator issue an order barring Respondent from registration under the Act in any capacity and/or from association with a broker-dealer or investment adviser in any capacity imposing such other sanctions as appropriate and authorized by law.

Dated this 27th day of January, 2012.

Respectfully submitted,



Amanda Cornmesser
Jennifer Shaw
Oklahoma Department of Securities
120 North Robinson, Suite 860
Oklahoma City, OK 73102
Telephone: (405) 280-7700
Facsimile: (405) 280-7742
Attorneys for the Department