



**State of Tennessee**  
**Department of State**

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**February 27, 2025**

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**RE: TENNESSEE DEPARTMENT OF COMMERCE AND INSURANCE V. TIMOTHY  
FLEMING JEFFERSON, APD Case No. 12.06-242832J**

Enclosed is an *Initial Order*, including a *Notice of Appeal Procedures*, rendered in this case.

Administrative Procedures Division  
Tennessee Department of State

Enclosure(s)

**BEFORE THE COMMISSIONER OF THE TENNESSEE DEPARTMENT OF  
COMMERCE AND INSURANCE**

**IN THE MATTER OF:**

**TENNESSEE DEPARTMENT OF  
COMMERCE AND INSURANCE,  
*Petitioner,***

**v.**

**TIMOTHY FLEMING JEFFERSON,  
*Respondent.***

**APD Case No. 12.06-242832J**

**INITIAL ORDER GRANTING MOTION FOR SUMMARY JUDGMENT**

This matter was heard before Administrative Judge Michael Begley, assigned by the Secretary of State's Administrative Procedures Division to sit on behalf of the Commissioner of the Tennessee Department of Commerce and Insurance ("Department") via video conference on December 4, 2024. The hearing date was used for oral argument on Petitioner's Motion for Summary Judgment. This case concerns a Notice of Hearing and Charges filed by the Petitioner, the Securities Division of the Tennessee Department of Commerce and Insurance ("Division") against the Respondent, Timothy Fleming Jefferson ("Mr. Jefferson").

The Division seeks civil penalties and the revocation of Mr. Jefferson's registrations with the Division as a Broker-Dealer Agent and as an Investment Adviser Representative. First, the Division alleges that Mr. Jefferson violated TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)17. by violating the Financial Industry Regulatory Authority ("FINRA") rules through failing to respond to multiple requests for information from FINRA pursuant to FINRA rule 8210 ("8210 Letter"). Second, the Division alleges that Mr. Jefferson violated TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)19. by failing to provide information requested by the Division pursuant to the

Tennessee Securities Act of 1980, found at TENN. CODE ANN. § 48-1-101 *et. seq.* (the “Act”) and the Tennessee Securities Rules, found at TENN. COMP. R. & REGS. 0780-04 (the “Rules”). Lastly, the Division alleges that Mr. Jefferson violated TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(c)26 by failing to provide information requested by the Division pursuant to the Act and Rules. The Division moved for summary judgment on the three alleged violations, offering the affidavit of Amber Patterson (“Investigator Patterson”) with accompanying exhibits. Mr. Jefferson was present to participate in the hearing and offered his testimony at that time. Mr. Jefferson offered no written response to the motion nor any affidavits or documentation contradicting the affidavits submitted by the Division. Mr. Jefferson acknowledged that he did not respond to multiple FINRA 8210 letters, and that he had not responded to the Division’s requests for information and verified receipt of the mailed notices.

Upon consideration of the Division’s motion, the applicable law, and the record in this matter, no material facts are in dispute. The Division is entitled to judgment as a matter of law for all violations.

Accordingly, the Division’s motion for summary judgment is **GRANTED**. Mr. Jefferson’s registration with the Division as a broker-dealer Agent is **REVOKED**. Mr. Jefferson’s registration with the Division as an investment adviser representative is **REVOKED**. Mr. Jefferson is **ASSESSED, by agreement of the parties, a civil monetary penalty of \$5,000.00** in total for the three violations of TENN. CODE ANN. § 48-1-112(a)(2)(G). Mr. Jefferson is also **ASSESSED** all reasonable costs associated with the bringing of this action.

### **SUMMARY JUDGMENT STANDARD**

A trial court may grant summary judgment when “the pleadings, depositions, answers to interrogatories, and admissions on file, together with the affidavits . . . show that there is no genuine issue as to any material fact and that the moving party is entitled to judgment as a matter of law.” TENN. R. CIV. P. 56.04. The party seeking summary judgment has the burden of persuading the court that its motion satisfies the requirements of TENN. R. CIV. P. 56.04. *See Rye v. Women’s Care Ctr. of Memphis*, 477 S.W.3d 235, 250-52 (Tenn. 2015). When considering the appropriateness of summary judgment, a court must view the evidence in the light most favorable to the non-moving party; all reasonable inferences are drawn in favor of the nonmoving party as well. *Huggins v. McKee*, 500 S.W.3d 360, 364 (Tenn. Ct. App. 2016).

### **UNDISPUTED MATERIAL FACTS**

1. The Division is responsible for the registration of persons acting as broker-dealer agents and investment adviser representatives in the State of Tennessee.
2. Investigator Patterson currently serves as a Financial Services Investigator III for the Financial Services Investigation Unit (“FSIU”) within the Division and is familiar with the types of records the Division keeps during its daily operations.
3. It is the regular practice of the Division to create, keep, store and maintain records of broker-dealer agents and investment adviser representatives that it registers. Records of broker-dealer agents and investment adviser representatives who are registered with the Division are kept, stored, and maintained electronically on a database called the Central Registration Depository (“CRD”).
4. Mr. Jefferson is registered with the Division as a broker-dealer agent and as an investment adviser representative and is assigned CRD number 5004750 by FINRA. He was first

registered as a broker-dealer agent with the Division on or about August 24, 2005, and he was first registered as an investment adviser representative with the Division on or about May 12, 2006. Mr. Jefferson was continuously registered as a broker-dealer agent and investment adviser representative in Tennessee until on or about November 2, 2023.

5. On or about October 16, 2023, Mr. Jefferson was discharged from employment at Ameriprise Financial Services, LLC (“Ameriprise”) over allegations of impermissible use of account login credentials for one client.

6. On or about January 8, 2024, the Division issued an Order of Investigation regarding Mr. Jefferson’s termination of employment with Ameriprise.

7. On or about February 14, 2024, Mr. Jefferson applied for registration with the Division as a broker-dealer agent and investment adviser representative employed by Aegis Capital Corporation (“Aegis”).

8. On or about February 15, 2024, FINRA mailed to Mr. Jefferson’s address of record an 8210 Letter requesting documents and information related to Mr. Jefferson’s termination from Ameriprise.

9. On or about February 22, 2024, Mr. Jefferson’s registrations as a broker-dealer agent and as an investment adviser representative were approved by the Division.

10. Mr. Jefferson responded to FINRA’s February 15, 2024, 8210 Letter with an undated response.

11. On or about March 27, 2024, FINRA mailed to Mr. Jefferson’s addresses of record a new 8210 Letter for additional documents and information. Mr. Jefferson responded to FINRA’s 8210 Letter dated March 27, 2024, with an undated response.

12. On or about April 23, 2024, FINRA mailed to Mr. Jefferson's addresses of record an additional 8210 Letter for documents and information. On or about May 9, 2024, FINRA mailed Mr. Jefferson a follow-up 8210 Letter requesting a response to the 8210 Letter dated April 23, 2024.

13. On or about May 16, 2024, Aegis filed a Form U5 in CRD indicating that it had discharged Mr. Jefferson from employment for job abandonment.

14. On or about May 17, 2024, FSIU mailed and emailed Mr. Jefferson a letter requesting that he provide a detailed explanation of the reasons for his termination from both Ameriprise and Aegis, as well as an explanation of his failure to respond to FINRA's 8210 Letters.

15. On or about July 18, 2024, FINRA filed a Form U6 in CRD suspending Mr. Jefferson from FINRA membership pursuant to FINRA Rule 9552 for failing to respond to FINRA's requests for information. On or about September 30, 2024, FINRA filed a Form U6 in CRD permanently barring Mr. Jefferson from FINRA membership for failing to respond to FINRA requests for information.

16. Mr. Jefferson never responded to the May 17, 2024, letter from FSIU.

#### **APPLICABLE LAW**

TENN. CODE ANN. § 48-1-112 states the following:

- (a) The commissioner may by order deny, suspend, or revoke any registration under this part if the commissioner finds that:
  - (1) The order is in the public interest and necessary for the protection of investors; and
  - (2) The applicant or registrant or, in the case of a broker-dealer or investment adviser, any affiliate, partner, officer, director, or any person occupying a similar status or performing similar functions:

...

- (G) Has engaged in dishonest or unethical practices in the securities business;

...

- (d) In any case in which the commissioner is authorized to deny, revoke, or suspend the registration of a broker-dealer, agent, investment adviser, investment adviser representative, or applicant for broker-dealer, agent, investment adviser, or investment adviser representative registration, the commissioner may, in lieu of or in addition to such disciplinary action, impose a civil penalty in an amount not to exceed five thousand dollars (\$5,000) for all violations for any single transaction, or in an amount not to exceed ten thousand dollars (\$10,000) per violation if an individual who is a designated adult is a victim.

...

- (f)
  - (1) Upon such terms and conditions as the commissioner deems in the public interest and necessary for the protection of investors, any registered broker-dealer, agent, investment adviser, or investment adviser representative may withdraw from registration by filing a written notice of withdrawal with the commissioner or by filing a notice of withdrawal through a designated filing depository.
  - (2) Withdrawal from registration as a broker-dealer, agent, investment adviser, or investment adviser representative becomes effective thirty (30) days after receipt of an application to withdraw or within such shorter period of time as the commissioner by rule or order may permit.

TENN. COMP. R. & REGS. 0780-04-03-.01(2) states:

- (e) The registration of an agent shall be subject to revocation proceedings even though the registrant has filed an application to terminate his or her registration, and an application for registration as an agent shall be subject to denial proceedings even though the applicant has filed to withdraw his or her application. The commissioner may institute a revocation or denial proceeding under TENN. CODE ANN. §48-1-112 within thirty (30) days after the filing date of an application to terminate or withdraw on Form U5 by a registrant or an applicant and enter a revocation order as of the last date on which registration was effective or a denial order as of the filing date of the request to withdraw an application. For purposes of this subparagraph, "filing date" shall mean the date upon which notice of the Form U5 filed on behalf of a registrant or an applicant is actually received

by the Division through the CRD System, or for non-CRD System agents, the date upon which the Form U5 is received directly by the Division.

TENN. COMP. R. & REGS. 0780-04-03-.01(9) provides:

- (e) The registration of an investment adviser representative shall be subject to revocation proceedings even though the registrant has filed an application to terminate his or her registration, and an application for registration as an investment adviser representative shall be subject to denial proceedings even though the applicant has filed to withdraw his or her application. The commissioner may institute a revocation or denial proceeding under TENN. CODE ANN. §48-1-112 within thirty (30) days after the filing date of an application to terminate or withdraw on Form U5 by a registrant or an applicant and enter a revocation order as of the last date on which registration was effective or a denial order as of the filing date of the request to withdraw an application. For purposes of this subparagraph, “filing date” shall mean the date upon which notice of the Form U5 filed on behalf of a registrant or an applicant is actually received by the Division through the IARD and CRD System, or for non-IARD and CRD System investment adviser representatives, the date upon which the Form U5 is received directly by the Division.

TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b) provides:

- (b) The following are deemed “dishonest or unethical business practices” by an agent under TENN. CODE ANN. § 48-1-112(a)(2)(G), without limiting those terms to the practices specified herein:

...

- 17. Violating any rule of a national securities exchange or national securities dealers association of which the agent is an associated person with respect to any customer, transaction, or business in this state;

...

- 19. Failing to provide information requested by the Division pursuant to the Act or these Rules.

TENN. COMP. R. & REGS. 0780-04-03-.02(6)(c) provides:

- (c) The following are deemed “dishonest or unethical business practices” by an investment adviser or an investment adviser representative under TENN. CODE ANN. § 48-1-112(a)(2)(G), to the extent permitted under Section



203A of the Investment Advisers Act, without limiting those terms to the practices specified herein:

...

26. Failing to provide information requested by the Division pursuant to the Act or these Rules.

FINRA Rule 8210 provides:

- (a) Authority of Adjudicator and FINRA Staff. For the purpose of an investigation, complaint, examination, or proceeding authorized by the FINRA By-Laws or rules, an Adjudicator or FINRA staff shall have the right to:
- (1) require a member, person associated with a member, or any other person subject to FINRA's jurisdiction to provide information orally, in writing, or electronically (if the requested information is, or is required to be, maintained in electronic form) and to testify at a location specified by FINRA staff, under oath or affirmation administered by a court reporter or a notary public if requested, with respect to any matter involved in the investigation, complaint, examination, or proceeding; and
  - (2) inspect and copy the books, records, and accounts of such member or person with respect to any matter involved in the investigation, complaint, examination, or proceeding that is in such member's or person's possession, custody or control.
- ...
- (c) Requirement to Comply. No member or person shall fail to provide information or testimony or to permit an inspection and copying of books, records, or accounts pursuant to this Rule.

### ANALYSIS

#### **I. VIOLATIONS**

For the aforementioned reasons, the Department has met its burden for summary judgment on all charged violations.

- A. Failing to Respond to FINRA in Violation of TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)17.**

The Division alleges that the Respondent engaged in dishonest or unethical business practices by a broker-dealer agent in the securities industry by failing to respond to FINRA 8210 letters. TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)17 deems engaging in dishonest or unethical business practices for a broker-dealer agent to include:

17. Violating any rule of a national securities exchange or national securities dealers association of which the agent is an associated person with respect to any customer, transaction, or business in this state[.]

FINRA sent 8210 Letters to Mr. Jefferson on or about April 23, 2024, and May 9, 2024, requesting documents and information. Failing to respond to FINRA 8210 letters is a violation of FINRA Rule 8210. *See* FINRA Rule 8210(c). FINRA suspended Mr. Jefferson's FINRA membership on or about July 18, 2024, for failing to respond to FINRA's requests for information. FINRA then permanently barred Mr. Jefferson from FINRA membership for failing to respond to FINRA's requests for information.

Accordingly, the undisputed material facts demonstrate that Mr. Jefferson engaged in dishonest or unethical practices for a broker-dealer agent in the securities business by violating FINRA rules through failing to respond to FINRA's requests for information. Therefore, the Division is entitled to summary judgment on this count as there is no genuine issue as to any material fact that the Respondent violated TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)17 by violating FINRA rules requiring a response to requests for information.

**B. Failing to Respond to the Division in Violation of TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)19.**

The Division alleges that the Respondent engaged in dishonest or unethical business practices by a broker-dealer agent in the securities industry by failing to respond to the

Division's request for information. TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)19 deems engaging in dishonest or unethical business practices for a broker-dealer agent to include:

19. Failing to provide information requested by the Division pursuant to the Act or these Rules[.]

Investigator Patterson mailed and emailed Mr. Jefferson a letter on or about May 17, 2024, requesting information about his termination from two firms and an explanation of his failure to respond to FINRA's 8210 letters. As of November 13, 2024, Investigator Patterson had not received a response to her request for information. During his remarks at the oral argument for summary judgement, Mr. Jefferson confirmed that he had not responded to the Division's request for information. Accordingly, the undisputed material facts demonstrate that Mr. Jefferson engaged in dishonest or unethical business practices in the securities business for a broker-dealer agent by failing to respond to the Division's requests for information. Therefore, the Division is entitled to summary judgment on this count as there is no genuine issue as to any material fact that the Respondent violated TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)19. by failing to respond to the Division's requests for information.

**C. Failing to Respond to the Division in Violation of TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(c)26.**

The Division alleges that the Respondent engaged in dishonest or unethical business practices by an investment adviser representative in the securities industry by failing to respond to the Division's request for information. TENN. COMP. R. & REGS. 0780-04-03-.02(6)(c)26 deems engaging in dishonest or unethical business practices for an investment adviser representative to include:

26. Failing to provide information requested by the Division pursuant to the Act or these Rules.

Investigator Patterson mailed and emailed Mr. Jefferson a letter on or about May 17, 2024, requesting information about his termination from two firms, and an explanation of his failure to respond to FINRA's 8210 letters. As of November 13, 2024, Investigator Patterson had not received a response to her request for information. During his remarks at the oral argument for summary judgement, Mr. Jefferson confirmed that he had not responded to the Division's request for information. Accordingly, the undisputed material facts demonstrate that Mr. Jefferson engaged in dishonest or unethical business practices in the securities business for an investment adviser representative by failing to respond to the Division's requests for information. Therefore, the Division is entitled to summary judgment on this count as there is no genuine issue as to any material fact that the Respondent violated TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(c)26. by failing to respond to the Division's requests for information.

## **II. CIVIL PENALTIES AND REVOCATION**

To revoke a registration, the commissioner must find the following:

- (1) The order is in the public interest and necessary for the protection of investors; and
- (2) The applicant or registrant or, in the case of a broker-dealer or investment adviser, any affiliate, partner, officer, director, or any person occupying a similar status or performing similar functions:
  - ...
  - (G) Has engaged in dishonest or unethical practices in the securities business[.]

TENN. CODE ANN. § 48-1-112(a). Additionally,

- (d) In any case in which the commissioner is authorized to deny, revoke, or suspend the registration of a broker-dealer, agent, investment adviser, investment adviser representative, or applicant for broker-dealer, agent,

investment adviser, or investment adviser representative registration, the commissioner may, in lieu of or in addition to such disciplinary action, impose a civil penalty in an amount not to exceed five thousand dollars (\$5,000) for all violations for any single transaction, or in an amount not to exceed ten thousand dollars (\$10,000) per violation if an individual who is a designated adult is a victim.

TENN. CODE ANN. § 48-1-112(d). The undisputed facts show that Mr. Jefferson engaged in dishonest or unethical practices in the securities industry as a broker-dealer agent and as an investment adviser representative. Ensuring that broker-dealer agents and investment adviser representatives adhere to the purposes fairly intended by the policy and provisions of the Tennessee Securities Act is in the public interest. Taking administrative action against securities industry registrants who fail to provide information requested by their regulators is necessary for the protection of investors.

In this case, both revocation of the Respondent's registrations and imposition of a civil monetary penalty are appropriate. While TENN. CODE ANN. § 48-1-112(d) authorizes a civil penalty of \$5,000 per violation, **the parties involved have agreed that a civil monetary penalty of \$5,000 in total is reasonable and it is hereby ASSESSED.** Respondent's registrations as a broker-dealer agent, and as an investment adviser representative are **REVOKED.**

### **III. ASSESSMENT OF COSTS**

TENN. CODE ANN. § 56-6-110(b)(1) provides that:

The commissioner may, against any person, agency, or company licensed, registered, or permitted by or operating under a certificate of authority issued by the commissioner, or acting in an unlawful capacity that brings such person, agency, or company under the jurisdiction of the commissioner, assess the actual and reasonable costs of the investigation, prosecution, and hearing of any disciplinary action held in accordance with the contested case provisions of the Uniform Administrative Procedures Act, compiled in title 4, chapter 5, part 3, in which sanctions of any kind are imposed on that person, agency, or company. These costs may include, but are not limited to, those incurred and assessed for

the time of the prosecuting attorneys, investigators, expert witnesses, administrative judges, and any other persons involved in the investigation, prosecution, and hearing of the action.

In this case, Respondent failed to respond to the Division's requests for information and failed to respond to multiple filings made by the Division's counsel regarding this case. All costs associated with pursuing this action, including prosecutorial, investigatory costs, court reporter, and hearing costs be assessed against the Respondent. The Division will file and serve upon the Respondent a Motion for the Assessment of Costs in this matter.

### **CONCLUSIONS OF LAW**

1. Respondent engaged in dishonest or unethical practices in the securities industry as a broker-dealer agent by violating FINRA rules, in violation of TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)17.

2. Respondent engaged in dishonest or unethical practices in the securities industry as a broker-dealer agent by failing to provide information requested by the Division pursuant to the Act and rules, in violation of TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(b)19.

3. Respondent engaged in dishonest or unethical practices in the securities industry as an investment adviser representative by failing to provide information requested by the Division pursuant to the Act and rules, in violation of TENN. CODE ANN. § 48-1-112(a)(2)(G) and TENN. COMP. R. & REGS. 0780-04-03-.02(6)(c)26.

4. Based on these violations, Respondent's registrations with the Division as a broker-dealer agent, and as an investment adviser representative are **REVOKED**.


5. Based on these violations, and by agreement of the parties, a civil penalty totaling \$5,000.00, **to be paid within 90 days** of the entry of this Initial Order Granting Petitioner's Motion for Summary Judgment, is **ASSESSED** against the Respondent.

6. Respondent is **ASSESSED all costs**.

7. This Initial Order Granting Petitioner's Motion for Summary Judgment is in the public interest and necessary for the protection of investors in the State of Tennessee, consistent with the purposes fairly intended by the policy and provisions of the Tennessee Securities Act.

It is so **ORDERED**.

This INITIAL ORDER entered and effective this the **27th day of February 2025**.

  
MICHAEL T. BEGLEY  
ADMINISTRATIVE JUDGE  
ADMINISTRATIVE PROCEDURES DIVISION  
OFFICE OF THE SECRETARY OF STATE

Filed in the Administrative Procedures Division, Office of the Secretary of State, this the **27th day of February 2025**.

**NOTICE OF APPEAL PROCEDURES**

**REVIEW OF INITIAL ORDER**

The Administrative Judge's decision in your case **BEFORE THE COMMISSIONER OF THE TENNESSEE DEPARTMENT OF COMMERCE AND INSURANCE (COMMISSIONER)**, called an Initial Order, was entered on **February 27, 2025**. The Initial Order is not a Final Order but shall become a Final Order unless:

1. **A Party Files a Petition for Reconsideration of the Initial Order:** You may ask the Administrative Judge to reconsider the decision by filing a Petition for Reconsideration with the Administrative Procedures Division (APD). A Petition for Reconsideration should include your name and the above APD case number and should state the specific reasons why you think the decision is incorrect. APD must **receive** your written Petition no later than 15 days after entry of the Initial Order, which is no later than **March 14, 2025**. A new 15 day period for the filing of an appeal to the **COMMISSIONER** (as set forth in paragraph (2), below) starts to run from the entry date of an order ruling on a Petition for Reconsideration, or from the twentieth day after filing of the Petition if no order is issued. Filing instructions are included at the end of this document.

The Administrative Judge has 20 days from receipt of your Petition to grant, deny, or take no action on your Petition for Reconsideration. If the Petition is granted, you will be notified about further proceedings, and the timeline for appealing (as discussed in paragraph (2), below) will be adjusted. If no action is taken within 20 days, the Petition is deemed denied. As discussed below, if the Petition is denied, you may file an Appeal, which must be **received** by APD no later than 15 days after the date of denial of the Petition. *See* TENN. CODE ANN. §§ 4-5-317 and 4-5-322.

2. **A Party Files an Appeal of the Initial Order:** You may appeal the decision to the **COMMISSIONER** by filing an Appeal of the Initial Order with APD. An Appeal of the Initial Order should include your name and the above APD case number and state that you want to appeal the decision to the **COMMISSIONER**, along with the specific reasons for your appeal. APD must **receive** your written Appeal no later than 15 days after the entry of the Initial Order, which is no later than **March 14, 2025**. The filing of a Petition for Reconsideration is not required before appealing. *See* TENN. CODE ANN. § 4-5-317.
3. **The COMMISSIONER decides to Review the Initial Order:** In addition, the **COMMISSIONER** may give written notice of the intent to review the Initial Order, within 15 days after the entry of the Initial Order.

If either of the actions set forth in paragraphs (2) or (3) above occurs prior to the Initial Order becoming a Final Order, there is no Final Order until the **COMMISSIONER** renders a Final Order.

If none of the actions in paragraphs (1), (2), or (3) above are taken, then the Initial Order will become a Final Order. **In that event, YOU WILL NOT RECEIVE FURTHER NOTICE OF THE INITIAL ORDER BECOMING A FINAL ORDER.**

**STAY**

In addition, you may file a Petition asking the Administrative Judge for a stay that will delay the effectiveness of the Initial Order. A Petition for Stay must be **received** by APD within 7 days of the date of entry of the Initial Order, which is no later than **March 6, 2025**. *See* TENN. CODE ANN. § 4-5-316. A reviewing court also may order a stay of the Final Order upon appropriate terms. *See* TENN. CODE ANN. §§ 4-5-322 and 4-5-317.



**NOTICE OF APPEAL PROCEDURES**

**REVIEW OF A FINAL ORDER**

When an Initial Order becomes a Final Order, a person who is aggrieved by a Final Order in a contested case may seek judicial review of the Final Order by filing a Petition for Review “in the Chancery Court nearest to the place of residence of the person contesting the agency action or alternatively, at the person’s discretion, in the chancery court nearest to the place where the cause of action arose, or in the Chancery Court of Davidson County,” within 60 days of the date the Initial Order becomes a Final Order. *See* TENN. CODE ANN. § 4-5-322. The filing of a Petition for Reconsideration is not required before appealing. *See* TENN. CODE ANN. § 4-5-317.

**FILING**

Documents should be filed with the Administrative Procedures Division by email *or* fax:

Email: [APD.filings@tnsos.gov](mailto:APD.filings@tnsos.gov)

Fax: 615-741-4472

In the event you do not have access to email or fax, you may mail or deliver documents to:

Secretary of State  
Administrative Procedures Division  
William R. Snodgrass Tower  
312 Rosa L. Parks Avenue  
Nashville, TN 37243-1102