**Utah Securities Commission**

**February 20th, 2014**

**Room 403– 9:00 A.M.**

**Agenda**

**Welcome & Call to Order**:

**Tab 1:** **Approval of December 5th, 2013 Minutes:** Tim Bangerter

**Tab 2: Oral Argument on Motion for Summary Judgment:** Landmark Financial Services, LLC; Landmark Reo Club, LLC, Trent D. Williams; Daniel Bryce Prescott SD-13-0033, SD-13-0034, SD-13-0035, SD-13-0036

**Tab 3: Evidentiary Hearing:** Curtis S. Olsen, SD-13-0037

**Director’s Report:** Keith Woodwell

1. H. B. 142 Securities Act Amendments

**Section Reports**

a. **Licensing & Compliance Section:** Ken Barton

 b. **Corporate Finance Section:** Benjamin Johnson

c. **Enforcement Section:** Dave Hermansen

d. **Investor Education Update:** Karen McMullin

**Tab 4: Education and Training Fund Report**: Benjamin Johnson

**Tab 5: Grant Request: Utah Financial Planning Association**

 **Consideration and Approval of Proposed Orders**

**Tab 6: James D. Elliot, SD-12-0002, Recommended Order for Default: Dave Hermansen**

**Tab 7: Thomas Dean Lakey, SD-13-0017, Stipulation and Consent Order: Dave Hermansen**

**Tab 8: Mark Whitney Keith La Count, SD-13-0049 Stipulation and Consent Order: Dave Hermansen**

**Tab 9: New Port Financial Services, LLC, Michael Kay Smith, and Quintin Fullmer Smith: SD-11-0027, SD-11-0028, SD-11-0029, Stipulation and Consent Order: Dave Hermansen**

**Tab 10: Seaquest of Utah, Mark Anthony Nuñez, SD-11-0091, SD-11-0092 Recommended Order on Default: Dave Hermansen**