



STATE OF UTAH
DEPARTMENT OF COMMERCE | DIVISION OF SECURITIES

SECURITIES COMMISSION MEETING AGENDA

October 23rd, 2025. | 9:00 AM - TBD | HEARING ROOM 451

9:00 a.m.

- Welcome and call to order by Commission Chair

Agenda Items

1. Approval of August 14th, 2025, meeting minutes

2. Investor Education Fund Report (by Aaron Burgoyne)

3. Division of Securities, Director's Report (by Robert B. Cummings)

4. Update on Commissioner Nomination Process (by Robert B. Cummings)

5. Proposed Scheduling Order 2025-001 regarding administrative procedures for matters before the Utah Securities Commission – submitted for discussion (by Robert B. Cummings and Jennifer Korb)

6. Presentation regarding practices and procedures related to incarcerated respondents (By Taralyn Thomas)

Consideration and Approval of Proposed Orders

PROPOSED ORDER	CASE #	CASE NAME	PRESENTER
7. Stipulation and Consent Order	SD-25-0016	In the matter of Edward D Jones & Co, L.P	Charles Lyons
8. Stipulation and Consent order		RBC & LPL	Charles Lyons
9. Order of Default	SD-20-0001 SD-20-0002	In the matter of Luvabye Inc, and Vincent Kelly McKinnon	Mark Holliday

10. Honoring outgoing Commissioner, Dr. Mark Zimbelman, and Presentation of Appreciation Award (by Robert B. Cummings)
