

**AGENDA | UTAH SECURITIES COMMISSION MEETING & HEARING
THURSDAY, NOVEMBER 7, 2019 | 9:00AM - 5:00PM | ROOM 451**

WELCOME & CALL TO ORDER

TAB 1

- Approval of Minutes August 7, 2019

- Section Reports
 - 1. Enforcement Dave Hermansen
 - 2. Compliance Ken Barton
 - 3. Registration & Licensing Bryan Cowley
 - 4. Investor Education Dee Johnson

- Director’s Report Tom Brady

TAB 2

- Education & Training Fund Report/Budget Bryan Cowley

TABS 3-11

- Consideration & Approval of Proposed Orders

| TAB | PROPOSED ORDER | DOCKET NUMBERS | IN THE MATTER OF | PRESENTING |
|-----|-----------------------------|-----------------|---|-------------------|
| 3 | Stipulation & Consent Order | SD-17-0009 | Eric Larson Sampson, CRD #3269514 | Ken Barton |
| 4 | Stipulation & Consent Order | SD-17-003-0008 | Niki Sampson | Ken Barton |
| 5 | Stipulation & Consent Order | SD-19-0009 | Fernando DeLuna | Francswai Grayson |
| 6 | Stipulation & Consent Order | SD-19-0016 | ProLung, Inc; Clark A. Campbell | Francswai Grayson |
| 7 | Stipulation & Consent Order | SD-19-0017 | ProLung, Inc; Tim Treu | Francswai Grayson |
| 8 | Stipulation & Consent Order | SD-19-0018 | ProLung, Inc; Todd Mark Morgan | Francswai Grayson |
| 9 | Stipulation & Consent Order | SD-19-0019 | ProLung, Inc; Robert Raybould | Francswai Grayson |
| 10 | Motion for Default | SD-19-0024-0025 | Che Financial Research, LLC & William Ray Clemons | Paula Faerber |
| 11 | Default Order | SD-19-0024-0025 | Che Financial Research, LLC & William Ray Clemons | Paula Faerber |

HEARINGS SCHEDULED

10:00AM ProLung, Inc. & Jared Bauer (SD-19-0014-0015) Tom Melton