



STATE OF UTAH
DEPARTMENT OF COMMERCE | DIVISION OF SECURITIES
SECURITIES COMMISSION MEETING | AGENDA
OCT 14, 2021 | 9:00 AM-10:00 AM | THE GIANI ROOM

COMMENCEMENT

9:00 AM

1. Approval of August 5, 2021 meeting minutes.

DIRECTOR'S REPORT

Jason E. Sterzer

SECTION REPORTS

- Licensing and Registration Bryan Cowley
- Compliance Ken Barton
- Enforcement Dave Hermansen
- Investor Education Karen McMullin

GRANT REQUESTS FROM THE SECURITIES INVESTOR EDUCATION AND TRAINING FUND

2. Education Fund Expenditure Request Aaron Burgoyne

CONSIDERATION AND APPROVAL OF PROPOSED ORDER(S)

PROPOSED ORDER	DOCKET NO	IN THE MATTER OF	PRESENTER
3. Stipulation and Consent Order	SD-19-0028	Joel Ellowitz	Francswai Grayson
4. Stipulation and Consent Order	SD- 21-0008	PEG/Mark Wheeler	Francswai Grayson
5. Order of Default Judgement	SD-21-0005	Elida Maria Abreu	Francscwai Grayson