



STATE OF UTAH
DEPARTMENT OF COMMERCE | DIVISION OF SECURITIES
SECURITIES COMMISSION MEETING | AGENDA
JANUARY 13, 2022 | 9:00 AM-10:00 AM | THE GIANI ROOM

COMMENCEMENT

9:00 AM

1. Approval of October 14, 2021 meeting minutes.

DIRECTOR'S REPORT

Jason E. Sterzer

SECTION REPORTS

- Licensing and Registration
- Compliance
- Enforcement
- Investor Education

Bryan Cowley
Ken Barton
Dave Hermansen
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-19-0037 SD-19-0038 SD-19-0039 SD-19-0040	STIS HOLDINGS LLC NOVARE LLC ST ROCH LLC LANCE M. KING	Francswai Grayson
4. Stipulation and Consent Order	SD-19-0041	THOMAS M. SWENSEN	Francswai Grayson
5. Addendum to Stipulation Order	SD-21-0005	CLARK CAMPBELL	Jennifer Korb