



STATE OF MISSOURI  
OFFICE OF SECRETARY OF STATE

IN THE MATTER OF: )  
 )  
EDWARD WILLIAM GOETZ, )  
 )  
Respondent. ) Case No. AP-04-64  
 )

**ORDER AMENDING CONSENT ORDER**

Now on the 10th day of February, 2014, the Commissioner of Securities, having reviewed this matter, issues the following findings and order:

1. On June 29, 2004, the Enforcement Section of the Securities Division of the Office of Secretary of State (the "Enforcement Section"), through its Assistant Commissioner Mary S. Hosmer, submitted a Petition for Administrative Relief against Respondent Edward Goetz.
2. On November 30, 2004, the Commissioner issued a Consent Order in which Respondent, among other things, agreed not to apply for registration in the state of Missouri for 10 years and to pay a civil penalty of \$7,500.
3. The Consent Order arose out of a U4 filed by LH Ross on Respondent's behalf. According to the stipulated facts in the Consent Order, Respondent's U4 failed to include a customer complaint that originally requested compensation of \$309,000 and that resulted in a \$125,000 settlement.
4. Respondent amended his U4 to disclose this complaint and settlement just under two months after submission of the original U4.
5. The Consent Order contained no allegations that Respondent had committed securities fraud under sections 409.5-501 and 409.5-502. The only Missouri Securities Act violation alleged in the Consent Order was the violation of section 409.5-505 relating to the incomplete and inaccurate U4.

6. On January 9, 2014, Respondent submitted a Petition for Amendment to Consent Order. The Petition alleges that a 2007 FINRA rule change to its statutory disqualification criteria, along with the Consent Order entered on November 30, 2004, has caused FINRA to prevent Respondent from registering as a broker-dealer agent without MC-400 firm sponsorship.
7. The Petition for Amendment further alleges that Respondent has been unable to conduct his securities business for several years and has suffered serious financial hardship.
8. The Petition for Amendment requests that the Commissioner amend the Consent Order so that the prohibition on registration has already expired so that Respondent may register with FINRA without MC-400 sponsorship.
9. Petitioner has filed no opposition to Respondent's request objecting to this relief.
10. Accordingly, paragraph 1 of the Order section of the Consent Order of November 30, 2004 is hereby **AMENDED** to read as follows:

Respondent is prohibited from applying for registration in the State of Missouri until February 7, 2014.

**SO ORDERED:**

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY, MISSOURI THIS TENTH DAY OF FEBRUARY 2014.

JASON KANDER  
SECRETARY OF STATE



*Andrew M. Hartnett*  
ANDREW M. HARTNETT  
COMMISSIONER OF SECURITIES

CERTIFICATE OF SERVICE

I hereby certify that on this 10th day of February, 2014, a copy of the foregoing Order Amending Consent Order in the above styled case was **mailed by Certified U.S. mail to:**

Timothy Feil  
Finkelstein & Feil, P.C.  
666 Old Country Road, Suite 210  
New York, New York 11530  
ATTORNEY FOR RESPONDENT

**And by hand delivery to:**

Mary S. Hosmer  
Assistant Commissioner  
Missouri Securities Division

  
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John Hale, Securities Office Manager