

BEFORE THE  
DIVISION OF SECURITIES  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
STATE OF WISCONSIN

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In the Matter of  
DAVID D. BARTZ

Respondent.

PETITION FOR ORDER

File No. S-03142(LX)

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The staffs of the Licensing & Compliance Bureau and the Enforcement Unit, Registration and Enforcement Bureau of the Division of Securities, Department of Financial Institutions, State of Wisconsin have conducted an investigation in this matter pursuant to sec. 551.56, Wis. Stats. and as a result thereof allege as follows:

1. David D. Bartz ("Bartz") is a securities agent (CRD #4417805) with a last known address of W 9585 Henry Street, Cambridge, WI 53523;
2. Allstate Financial Services LLC ("Allstate") is a broker-dealer (CRD #18272) with a last known address of 2920 South 84<sup>th</sup> Street, PO Box 83271, Lincoln, NE 68501-3271;
3. On October 1, 2002, Bartz applied through the CRD to become licensed as a securities agent in Wisconsin for Allstate;
4. At the time of the application, Bartz was deficient for the Series 63 examination;
5. On May 16, 2003, the staff sent a reminder letter to Bartz and Allstate giving Bartz 10 more days to take and pass the exam or withdraw the application;
6. Section DFI-Sec 4.01(5) provides that any application that is not completed or withdrawn within 6 months from the date it is initially received may be deemed materially incomplete and the Division may issue an order denying the license;
7. To date, Bartz has neither passed the examination nor withdrawn his application;
8. The failure of Bartz to complete its application by failing to pass the required examination provides a basis, pursuant to sec. 551.34(1)(a), Wis. Stats for the denial of his license application.

THEREFORE, the staffs of the Licensing & Compliance Bureau and the Enforcement Unit petition the Administrator for the issuance of the attached Order.

DATED this 22nd day of June, 2003.

  
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David A. Cohen  
Supervising Attorney  
Enforcement Unit

  
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Kenneth L. Hojnacki  
Director  
Licensing & Compliance Bureau