

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

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In the Matter of  
ROCK J. EIDEN

ORDER OF PROHIBITION  
AND CENSURE  
(CONSENT)

Respondent.

File No. S-01134(LX)

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Based upon the attached Petition for Order and Waiver and Consent to Order I find that this action is necessary and appropriate in the public interest and for the protection of investors;

Therefore, pursuant to secs. 551.34 and 551.63, Wis. Stats.,

IT IS ORDERED THAT:

- a. Rock J. Eiden is censured for and he, his agents, servants, employees, and every entity and person directly or indirectly controlled or organized by or on his behalf, are prohibited from borrowing money from customers of his employing broker-dealer as proscribed by DFI-Sec 4.06(2)(a), Wis. Adm. Code and 551.34(1), Wis. Stats.
- b. Rock J. Eiden, his agents, servants, employees, and every entity and person directly or indirectly controlled or hereafter organized by or on his behalf, are prohibited from violating sec. 551.33, Wis. Stats., or successor statute.
- c. Rock J. Eiden, his agents, servants, employees, and every entity and person directly or indirectly controlled or hereafter organized by or on his behalf, are prohibited from violating sec. 551.54, Wis. Stats., or successor statute.
- d. Rock J. Eiden shall be required to take 10 hours of continuing education credits focusing on sales practices and ethics, such courses to be approved by the Division whose approval shall not be unreasonably withheld.
- e. The securities agent license of Rock J. Eiden shall be subject to special supervision for a period of three years.
- f. Rock J. Eiden shall pay the sum of \$2500 as an administrative assessment pursuant to sec. 551.605, Wis Stats. The Administrator of the Securities Division shall credit the administrative assessment to the appropriation

under sec. 20.185(1)(h), Wis. Stats.

EXECUTED at Madison, Wisconsin this 23rd day of December, 2003.

(SEAL)



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Patricia D. Struck  
Administrator  
Division of Securities

NOTICE:

You are advised that any willful violation of an Order issued by the Administrator of the Division of Securities of the State of Wisconsin Department of Financial Institutions under Ch. 551, Wis. Stats., is a criminal offense punishable under the provisions of sec. 551.58, Wis. Stats.