

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

In the Matter of
DANIEL P. MATTY

Respondent.

PETITION FOR ORDER

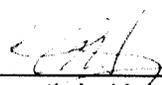
File No. S-03288-(LX)

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. Daniel P. Matty ("Matty") is a securities agent (CRD #4675040) with a last known address of 790 Camino Del Ray, Henderson, NV 89012;
2. PFS Investments Inc. ("PFS") is a broker-dealer (CRD #10111) with a last known address of 3120 Breckinridge Boulevard, Building 200, Duluth, GA 30099;
3. On June 12, 2003, Matty applied through the CRD to become licensed as a securities agent in Wisconsin for PFS;
4. At the time of the application, Matty was deficient for the Series 63 examination;
5. On December 10, 2003, the staff sent a reminder letter to Matty and PFS giving Matty 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 Section DFI-Sec 4.01(5) provides that any application that is not completed or withdrawn within 6 months from the date it is initially received may be deemed materially incomplete and the Division may issue an order denying the license;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 To date, Matty has neither passed the examination nor withdrawn his application;
8. The failure of Matty to complete his 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 staff of the Licensing & Compliance Bureau petition the Administrator for the issuance of the attached Order.

DATED this 20th day of December, 2003.



Kenneth L. Hojnacki
Director
Licensing & Compliance Bureau