

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

In the Matter of
LISA K. MCGIBBON
Respondent.

PETITION FOR ORDER

File No. S-03250-(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:

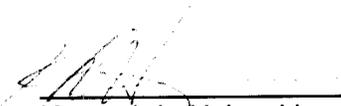
1. Lisa K. McGibbon ("McGibbon") is a securities agent (CRD #4563783) with a last known address of 255 Evelyn Ave., Toronto, Ontario, Canada M6P 2Z8;
2. Pricewaterhousecoopers Corporate Finance LLC ("PWC") is a broker-dealer (CRD #41461) with a last known address of 1751 Pinnacle Drive, McLean, Virginia 22102-3811;
3. On April 9, 2003, McGibbon applied through the CRD to become licensed as a securities agent in Wisconsin for PWC;
4. At the time of the application, McGibbon was deficient for the Series 63 examination;
5. On October 17, 2003, the staff sent a reminder letter to McGibbon and PWC giving McGibbon 17 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 Section DFI-Sec 4.01(5) provides that any application that is not completed or withdrawn within 6 months from the date it is initially received may be deemed materially incomplete and the Division may issue an order denying the license;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 To date, McGibbon has neither passed the examination nor withdrawn her application;
8. The failure of McGibbon to complete her application by failing to pass the required examination provides a basis, pursuant to sec. 551.34(1)(a), Wis. Stats for the denial of her 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 20th day of September, 2003.



David A. Cohen
Supervising Attorney
Enforcement Unit



Kenneth L. Hojnacki
Director
Licensing & Compliance Bureau