

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

IN THE MATTER OF

SUPPLEMENTAL ORDER

LUIS SOSA, JR.

Respondent

File No. S-04112 (LX)

WHEREAS, the Division's summarily-issued Order dated April 30, 2004 in this proceeding contained prohibitions and sanctions in addition to the denial of Respondent Sosa's securities agent license application; and

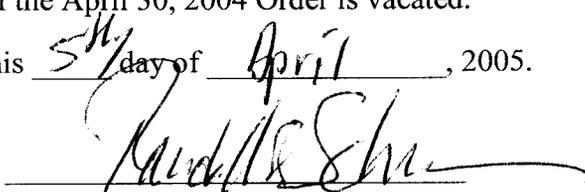
WHEREAS, the Decision and Order issued March 18, 2005 identified as the issue for determination at the hearing whether the Summary Order issued April 30, 2004 denying the securities agent license of Respondent Luis Sosa should be vacated, should remain in effect as issued, or whether an alternative sanction should be imposed, and although that issue was decided in the March 18, 2005 Decision and Order, the remaining prohibitions and sanctions in the April 30, 2004 Order need to be specifically addressed;

NOW THEREFORE, the following supplements the Decision and Order issued March 18, 2005 in this proceeding;

- (1) Because the Division Staff withdrew prior to the hearing the securities registration violation allegations in the Staff's Petition for Order dated April 30, 2004, the prohibitions/restriction on offerings in paragraph a. as well as the registration exemption revocation in paragraph b. of the April 30, 2004 Order are vacated.
- (2) Because the Findings of Fact and Conclusions of Law in the March 18, 2005 Decision and Order determined that Respondent Sosa did not violate the anti-fraud provisions of 551.41, Wis. Stats., the prohibition against anti-fraud violations contained in paragraph c. of the April 30, 2004 Order is vacated.
- (3) Because no failure-to-be-licensed-as-an-agent-in-Wisconsin issues were alleged in the Staff's Petition for Order providing the basis for the April 30, 2004 Order, and none were raised in the hearing proceeding, the prohibition against unlicensed activity contained in paragraph d. of the April 30, 2004 Order is vacated.

DATED at Madison, Wisconsin this 5th day of April, 2005.

(SEAL)


Randall E. Schumann
Designated Hearing Officer