

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

In the Matter of
GLENN REED HARRIS,
Respondent.

ORDER OF SUSPENSION AND
CONDITIONS IN CONNECTION
WITH THE ISSUANCE OF A
SECURITIES AGENT REGISTRATION

File No. S-07032 (LX)

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 § 551.34(1) and § 551.63, Wis. Stats.,

IT IS HEREBY ORDERED that:

1. GLENN REED HARRIS ("Harris") (CRD# 4538997) and his agents, servants, employees, and every entity and person directly or indirectly controlled or organized by or on his behalf, is prohibited from making or causing to be made to any person or entity in Wisconsin any offers or sales of securities unless and until such securities qualify as covered securities or are registered under Ch. 551, Wis. Stats., or successor statute, or are properly exempted therefrom.
2. Harris' securities agent license with Advanced Planning Securities, Inc. ("APS") is suspended for 60 days from December 31, 2008, the date he was last licensed with APS.
3. Harris is permitted to withdraw his application for registration as a securities agent with Waterford Investor Services Inc.
4. Should Harris apply and be approved as a securities agent for any broker-dealer in the future, the following conditions are imposed for, and in connection with, the issuance under Chapter 551, Wis. Stats., of any securities agent registration to Harris, and that a breach or violation of any of such conditions shall constitute sufficient grounds, apart from any other grounds provided by Ch. 551, Wis. Stats., or successor statutes, upon which his securities agent registration may be revoked or suspended by the Division Administrator or his or her designee:
 - a) Take and pass the Series 63 examination prior to the date Harris first becomes approved with a broker-dealer at a future date.
 - b) Submit to special supervision by his employing broker-dealer for a period of 12 months pursuant to an Undertaking signed by Harris and staff at his employing broker-dealer responsible for implementing that supervision if employed as a securities agent. The employing broker-dealer will designate a specific individual to oversee the special supervision program.
 - c) For a period of two years from the date of registration as a securities agent, Harris shall not sell any private placement securities to any customer unless Harris reasonably believes the purchaser to be an "accredited investor" at the time of the sale, as defined in Rule 501(a) of

Regulation D of the Securities Act of 1933, and Harris has determined that such private placement is a suitable investment for that investor taking into account the diversity of the customer's portfolio as a whole, percentage of the customer's net worth invested in this or any other private placement securities, the amount of the customer's liquid net worth, the customer's investment goals, risk tolerance, liquidity needs and time horizon, among other relevant factors. His employing broker-dealer shall conduct its own suitability review of all private placement subscription documents, completed in full, prior to submission for investment. In no event shall Harris sell a private placement to any customer, accredited or not, which would result in over 50% of the customer's net worth being in private placement securities.

- d) Complete 20 hours of formal training approved by the Division, to include markets and products, suitability and sales to seniors, within one year of the date Harris becomes registered as a securities agent.
- e) If Harris becomes registered as a securities agent, his employing broker-dealer shall conduct two unannounced on-site examinations of the locations where Harris actually conducts business during the 12 months of special supervision, focusing especially on issues of suitability, disclosure and communications with the public. These exams will be performed by a qualified designee of his employing broker-dealer who is not the direct supervisor of Harris' office.
- f) His employing broker-dealer shall immediately notify the Division of any oral or written customer complaints received regarding Harris and will provide a summary to the Division at the end of each six-month period of special supervision outlining the reviews conducted, issues noted and any remedial steps taken, and provide proof of completion of the required training.
- g) Cooperate with the Division with regard to any investigation relating to Endeavor Real Estate funds and/or Advanced Planning Securities Inc.

5. Harris is permitted to withdraw his application for registration as a investment adviser representative with Advanced Planning Capital Corp.

EXECUTED THIS 6th day of March, 2009.

(SEAL)



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 § 551.58, Wis. Stats.