

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

In the Matter of

PETITION FOR ORDER

BRUCE A. GEIGER,

Respondent.

File No. S-08063(EX)

The staff of the Bureau of Enforcement of the Division of Securities, Department of Financial Institutions, State of Wisconsin has conducted an investigation in this matter pursuant to § 551.56, Wis. Stats.,¹ and as a result thereof alleges as follows:

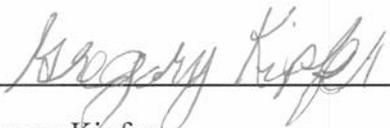
1. Upon information and belief, Guaranteed Financial Investments LLC (“GFI”), was a Nevada business entity registered on 4/12/06 and dissolved on 1/29/07, with a last known business address of 715 Tenny Avenue, Waukesha, Wisconsin 53186.
2. Upon information and belief, Bruce A. Geiger (“Geiger”), is an individual who at all times material hereto had been a controlling person of GFI, with a last known home and business address of 715 Tenny Avenue, Waukesha, Wisconsin 53186.
3. From at least February 2007 through June 2007, Geiger offered GFI investment contracts to at least one person in Wisconsin.
4. Pursuant to the offering materials and information provided by Geiger to the Wisconsin investor, Geiger traded stocks doing business as GFI.
5. Upon information and belief, investors in GFI played a passive role with no duties and responsibilities.
6. Upon information and belief, investors were not involved in the day-to-day management or stock trading of GFI.
7. Since the investors would be involved in the common enterprise of GFI with the expectation of profit to be derived from the essential managerial efforts of others, the investments offered by Geiger are investment contracts as defined by § DFI-Sec. 1.02(6)(a), Wis. Admin. Code, and are therefore securities as defined by § 551.02(13), Wis. Stats.
8. In connection with the offer and sale of the GFI investment contracts, Geiger omitted to disclose that in July 2006 GFI was overdue and in default on a \$200,000 investment contract.
9. In connection with the offer and sale of the GFI investment contracts, Geiger omitted to disclose that in February 2007, GFI was overdue and in default on a \$100,000 investment contract.
10. In connection with the offer and sale of the GFI investment contracts, Geiger omitted to disclose that GFI had been dissolved on 1/29/07.
11. Geiger has violated § 551.41(2), Wis. Stats., by omitting to state material facts necessary in order to make the statements made, in the light of the circumstances under which they

were made, not misleading, in connection with the offer and sale of securities to persons in Wisconsin.

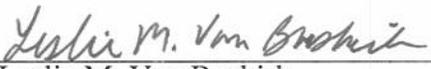
12. Upon information and belief, in connection with his sales of GFI investment contracts to investors, Geiger represented that he used to advise others of what to trade in their accounts, but now he does it for them, and that profits generated by investment contracts would come from Geiger's trading activities.
13. Geiger's conduct alleged above would constitute transacting business as a unregistered broker-dealer in violation of § 551.31 (1), Wis. Stats.

Therefore, the staff of the Bureau of Enforcement petitions the Administrator of the Division of Securities for the issuance of the attached Order pursuant to Ch. 551, Wis. Stats.

Dated this 25th day of May, 2011.



Gregory Kipfer
Examiner
Bureau of Enforcement



Leslie M. Van Buskirk
Attorney Supervisor
Bureau of Enforcement

ⁱ Unless otherwise noted, statutory references are to the Wisconsin Statutes (2005-06), which were in effect at the time of the violations alleged herein and apply pursuant to §551.706, Wis. Stats. (2007-08).