

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

In the Matter of
VICKI ANN NEUENSCHWANDER

CEASE AND DESIST ORDER
(CONSENT)

Respondent.

File No. S - 225806 (EX)

Based upon the attached Waiver and Consent to Cease and Desist Order, I find that this action is necessary and appropriate in the public interest and for the protection of investors;

Therefore, pursuant to Wis. Stats. §§ 551.604,

IT IS ORDERED THAT:

1. Respondent Vicki Ann Neuenschwander (CRD# 4863109), and any successors, affiliates, and every entity directly or indirectly controlled or organized by or on her behalf, is hereby prohibited from making or causing to be made to any person or entity in Wisconsin any offers or sales of securities;
2. All exemptions from registration that might otherwise apply to any offer or sale of any securities of or by Vicki Ann Neuenschwander and any successors, affiliates, controlling persons, officers, agents, servants, employees, and every entity or person directly or indirectly controlled or organized by or on his behalf, are hereby revoked;
3. Vicki Ann Neuenschwander is prohibited from registering with the State of Wisconsin Division of Securities as a securities professional, including but not limited to investment adviser, investment adviser representative, broker-dealer agent, and agent for issuer.

This Order consented to by the Respondent prohibits Respondent from transacting securities business in the State of Wisconsin, effective upon the date issued, and shall have the same effect on Respondent as a permanent injunction entered by a circuit court pursuant to Wis. Stat. § 551.603(2)(a).

EXECUTED at Madison, Wisconsin, this 29th day of September, 2014.

(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 Department of Financial Institutions of the State of Wisconsin under Ch. 551, Wis. Stats., is a criminal offense punishable under the provisions of Wis. Stat. § 551.508.