



**BEFORE THE SECURITIES COMMISSIONER  
OF THE STATE OF KANSAS**

In the Matter of:

GARTNER FINANCIAL GROUP, LLC (CRD #148539),  
and  
SCOTT ALAN GARTNER (CRD #1718453),

Docket No. 14 E 001  
KSC No. 2013-6110

Respondents.

\_\_\_\_\_  
Pursuant to K.S.A. 17-12a412

**FINAL ORDER IMPOSING ADMINISTRATIVE  
SANCTIONS AGAINST RESPONDENTS**

**COMES NOW** the above-entitled matter for consideration by the Securities  
Commissioner of Kansas. Upon due deliberation, the Commissioner finds as follows:

**Findings of Fact**

1. On July 30, 2013, the Securities Commissioner of Kansas issued an Emergency Order of Suspension and Notice of Intent to Impose Administrative Sanctions against the above named respondents.
2. On July 31, 2013, a copy of the Emergency Order of Suspension and Notice of Intent to Impose Administrative Sanctions issued in this matter was served on the Respondents by leaving said copy with [REDACTED] at 5127 S.W. Brentwood Road, Topeka, Kansas 66606.
3. 5127 S.W. Brentwood Road, Topeka, Kansas 66606 serves as the residential address for Scot Alan Gartner and the business address for Gartner Financial Group, LLC.
4. [REDACTED] is Scott Alan Gartner's [REDACTED], is of suitable age and discretion to receive service, and resides at [REDACTED]
5. As of the date of this order, Respondent Gartner Financial Group, LLC has not requested a hearing in this matter.

6. As of the date of this order, Respondent Scott Alan Gartner has not requested a hearing in this matter.

7. Respondent Gartner Financial Group, LLC did not request a hearing within 30 days of service of the Emergency Order of Suspension and Notice of Intent to Impose Administrative Sanctions that was filed in this matter.

8. Respondent Scott Alan Gartner did not request a hearing within 30 days of service of the Emergency Order of Suspension and Notice of Intent to Impose Administrative Sanctions that was filed in this matter.

9. Staff for the Office of the Kansas Securities Commissioner has filed a motion in this matter for the issuance of a final order imposing administrative sanctions.

10. The findings of Fact listed in the Emergency Order of Suspension and Notice of Intent to Impose Administrative Sanctions that was issued in this matter on July 30, 2013, are hereby incorporated into this order as if fully set forth herein.

#### **Conclusions of Law**

1. The Securities Commissioner of Kansas has jurisdiction over this matter.

2. The Securities Commissioner of Kansas may immediately impose administrative sanctions against Respondents due to the Respondents' failure to request a hearing in a timely manner, pursuant to K.S.A. 17-12a412(f), K.A.R. 81-11-5(a), and K.A.R. 81-11-5(d).

3. The Conclusions of Law listed in the Emergency Order of Suspension and Notice of Intent to Impose Administrative Sanctions that was issued in this matter on July 30, 2013, are hereby incorporated into this order as if fully set forth herein.

**IT IS THEREFORE ORDERED** by the Securities Commissioner that:

1. Respondent Gartner Financial Group, LLC shall pay a civil penalty of \$25,000.

2. The registration of Respondent Gartner Financial Group, LLC as an investment adviser in the state of Kansas is hereby revoked.
3. Respondent Scott Alan Gartner shall pay a civil penalty of \$25,000.
4. The registration of Respondent Scott Alan Gartner as an investment adviser representative in the state of Kansas is hereby revoked.
5. The civil penalties ordered herein shall be paid by the Respondents, within 30 days from the issuance of this order, in the form of cashier's checks or money orders made payable to the Office of the Kansas Securities Commissioner and shall be delivered to the Office of the Kansas Securities Commissioner located at 109 SW 9<sup>th</sup> Street, Suite 600, Topeka, Kansas 66612.

**IT IS SO ORDERED BY THE COMMISSIONER.**

Entered at Topeka, Kansas, this 11<sup>th</sup> day of September, 2013.



**NOTICE:**



Joshua A. Ney  
Securities Commissioner  
State of Kansas

**This decision may constitute final agency action that is subject to judicial review. The agency officer to receive service of a petition for judicial review on behalf of the Office of the Securities Commissioner is Joshua A. Ney, Securities Commissioner, at 109 SW 9<sup>th</sup> St., Suite 600, Topeka, Kansas, 66612.**