

COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF BANKING AND SECURITIES

BANKING AND SECURITIES COMMISSION MEETING 2019-3

WEDNESDAY, May 15, 2019

PUBLIC SESSION

The meeting of the Banking and Securities Commission was held on May 15, 2019 in the Thirteenth Floor Conference Room of the Department's offices at Market Square Plaza, 17 North Second Street, Harrisburg, PA 17101. The public session was called to order at 3:02 p.m. by Chairman Biery. The following were in attendance:

CHAIRMAN JAMES R. BIERY
VICE-CHAIR ROBIN L. WIESSMANN
COMMISSIONER VINCENT J. GASTGEB
COMMISSIONER WILLIAM LUTERMAN

LEO PANDELADIS, Chief Counsel
STEFANIE HAMILTON, Deputy Chief Counsel
GERARD MACKAREVICH, Assistant Counsel
JENNIFER COX, Securities Offerings Analyst

CALL TO ORDER

1. At 3:02 p.m. Chairman Biery called the meeting of the Banking and Securities Commission to order. It was noted that, pursuant to the requirement of Section 709 of the Sunshine Act, a public notice of the Commission meeting of May 15, 2019 was (1) **PUBLISHED** in **THE PATRIOT-NEWS**, Harrisburg, PA, Tuesday, May 14, 2019 edition; and on the same date (2) **POSTED** in the lobby of Market Square Plaza, 17 N. Second Street, Harrisburg, PA 17101; and (3) in furtherance of government transparency, also **POSTED** on the Department's webpage.

2. The Chairman took roll call and acknowledged all commissioners were present for the meeting, noting he and Commissioners Gastgeb and Luterman were participating via phone conference. With four commissioners attending, a quorum was present for purposes of taking official action pursuant to Section 1121-A(f) of the Department of Banking and Securities Code.

3. Jennifer Cox, Commission Recording Secretary, will keep the minutes of this meeting.

APPROVAL OF PROPOSED CONSENT AGREEMENT AND ORDER

IN THE MATTER OF DEAN J. VAGNOZZI D/B/A 'A BETTER FINANCIAL PLAN, LLC'

4. Having deliberated these matters and reviewed the records and materials, the Commission will conduct a roll call vote regarding these matters.

- 5. Vice-Chair Wiessmann moved to approve the Proposed Consent Agreement and Order in the matter of *Dean J. Vagnozzi d/b/a 'A Better Financial Plan, LLC'* – Docket No. 190016 (SEC-CAO) and seconded by Commissioner Gastgeb.
- 6. A motion having been made and seconded, a roll call was conducted to adopt the Proposed Report and Order in the matter of *Dean J. Vagnozzi d/b/a 'A Better Financial Plan, LLC'* – Docket No. 190016 (SEC-CAO). The Commission unanimously agreed to the motion.

PUBLIC COMMENTS

- 7. No public comments were made.

CLOSING COMMENTS

- 8. Having no further business, Chairman Biery asked for a motion to adjourn the meeting. Pursuant to a unanimous roll call vote, the meeting was adjourned at 3:11 p.m.

Transcribed by:

JENNIFER COX, Secretary for
Commission

Reviewed and respectfully submitted by:

ROBIN L. WIESSMANN, Vice-Chair