

State of Missouri
Office of Secretary of State

Case No. AP-05-30

IN THE MATTER OF:

GORDON M. ALLEN, CRD #1457468
4668 Pershing Place
S. Louis, Missouri 63108-1908,

Respondent.

CONSENT ORDER

1. The Missouri Securities Division alleges that Gordon M. Allen (“Allen”) failed to disclose information on his Uniform Application for Securities Industry Registration or Transfer (“Form U-4”) regarding his criminal record. Pursuant to §409.3-306(a)(1), RSMo Supp. 2004, Allen’s registration is subject to discipline.
2. Allen desires to settle the allegations relating to the violations of the securities laws raised by the staff of the Securities Division.
3. Allen and the Securities Division consent to the issuance of the Consent Order.
4. Allen stipulates and agrees to the issuance of this Consent Order without further proceedings in this matter, agreeing to be fully bound by the terms and conditions specified herein.
5. Allen waives his right to a hearing with respect to this matter.
6. Allen stipulates and agrees that he waives any rights that he may have to seek judicial review or otherwise challenge or contest the terms and conditions of this Order. Further, Gordon M. Allen specifically forever releases and holds harmless the Missouri Office of Secretary of State, Secretary of State, Commissioner of Securities and their respective representatives and agents from any and all liability and claims arising out of, pertaining to, or relating to this matter.
7. Allen stipulates and agrees that, should the facts contained herein prove to be false or incomplete, the Missouri Division of Securities preserves the right to pursue any and all legal or administrative remedies at its disposal.

STIPULATIONS OF FACT

8. Gordon M. Allen is a Missouri-registered securities agent of Brookstreet Securities Corporation and has a residential address of 4668 Pershing Place, St. Louis, Missouri 63108.
9. Allen works at the Brookstreet Securities Corporation branch office located at 231 S. Bemiston, Suite 960, Clayton, Missouri 63105.
10. On May 28, 1998, Allen was charged in the 22nd Judicial Circuit of Missouri (St. Louis City) with two counts of involuntary manslaughter, a class C felony under Missouri law.
11. On March 3, 1999, Allen pleaded guilty to two counts of involuntary manslaughter, a class C felony under Missouri law.
12. Allen failed to disclose his criminal record on his Form U-4 to the Central Registration Depository (“CRD”) for over four years.

JURISDICTIONAL BASIS

13. Allen and the Securities Division stipulate and agree that the Commissioner has jurisdiction over these matters pursuant to the Missouri Securities Act, Chapter 409, et al.
14. Allen and the Securities Division stipulate and agree that the Commissioner has authority to enter this Consent Order pursuant to Section 409.6-604(h) RSMo Supp. 2004, which provides:

The commissioner is authorized to issue administrative consent orders in the settlement of any proceeding in the public interest under this act.

ORDER

WHEREAS, the Commissioner, after consideration of the stipulation set forth above and on consent of Gordon M. Allen and the Securities Division, finds the following Order to be in the public interest, necessary for the protection of public investors and consistent with the provisions of Chapter 409, RSMo Supp. 2004.

NOW, THEREFORE, it is hereby Ordered that:

1. Allen will submit timely and correct information when filing any future documents with the CRD system relating to any matter that is required to be filed with the CRD.
2. Allen's registration in the State of Missouri is hereby censured.
3. Allen shall pay his own costs and attorneys fees with respect to this matter.
4. Allen is ordered to pay a civil penalty of five thousand dollars (\$5,000) made payable to the State of Missouri, and the Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri.

SO ORDERED:

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY, MISSOURI THIS 13TH DAY OF October, 2005.

ROBIN CARNAHAN
SECRETARY OF STATE

(Signed/Sealed)
DAVID B. COSGROVE
COMMISSIONER OF SECURITIES

Consented to by:

Mary S. Hosmer
Assistant Commissioner of Securities

Gordon M. Allen