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3 STATE OF OREGON  
4 DEPARTMENT OF CONSUMER AND BUSINESS SERVICES  
5 DIVISION OF FINANCE AND CORPORATE SECURITIES

6 In the Matter of:

Case No. S-15-0061

CHRISTOPHER S. GEYE,

FINAL ORDER TO CEASE AND  
DESIST, FINAL ORDER ASSESSING  
CIVIL PENALTY AND CONSENT TO  
ENTRY OF ORDER

Respondent.

8  
9 The Director of the State of Oregon, Department of Consumer and Business  
10 Services (the “Director”), has determined that Christopher S. Geye (“Respondent”) has  
11 violated the licensing provisions of the Oregon Securities Law, ORS 59.005 *et seq.*; and  
12 Respondent wishes to resolve and settle this matter with the Director;  
13 Now, therefore, the Director hereby issues the following Findings of Fact,  
14 Conclusions of Law and Orders, to which Respondent consents, as evidenced by the  
15 Consent to Entry of Order attached hereto.

16  
17 I. FINDINGS OF FACT

18 The Director FINDS that:

- 19 1. At all times relevant to this matter, Respondent was an Oregon resident.
- 20 2. In or about October 2010, Respondent and his wife, Pamela M. Geye  
21 (“Pamela Geye”), held a “free lunch” seminar in a restaurant in Central Point, Oregon to  
22 which were invited a number of senior consumers. At the event, Respondent provided  
23 the consumers with information about various insurance products and securities. Pamela  
24 Geye was a licensed securities salesperson at the time.
- 25 3. One of the seminar attendees was an Oregon resident who will be referred to  
26 hereinafter as “CH.” CH arranged to receive additional information from Respondent





1 and Pamela Geye after the conclusion of the seminar.

2 4. On November 17, 2010, Respondent and Pamela Geye emailed CH with  
3 “recommendations” about various securities transactions. These included:

4 A. Recommending that CH sell certain stocks with Fidelity (“Fidelity stocks”)  
5 to finance the purchase of an index annuity promoted by Respondent and Pamela Geye.

6 B. Recommending that CH use the remaining proceeds from the sale of his  
7 stocks along with additional funds taken from his bank savings and checking accounts  
8 to purchase shares of two managed bond funds promoted by Respondent and Pamela  
9 Geye.

10 C. Recommending CH transfer his existing IRA account to a new IRA account  
11 promoted by Respondent and Pamela Geye.

12 5. At no time relevant to this matter was Respondent licensed by the Director  
13 as an investment adviser in Oregon.

## 15 II. CONCLUSIONS OF LAW

16 The Director CONCLUDES that:

17 6. At all times material to this Order, Respondent was not licensed as an  
18 investment adviser in Oregon.

19 7. The Fidelity stocks that Respondent and Pamela Geye advised Oregon  
20 resident CH to liquidate are securities as defined by ORS 59.015(19)(a).

21 8. The indexed annuity that Respondent and Pamela Geye recommended  
22 Oregon resident CH buy is a security as defined by ORS 59.015(19)(a).

23 9. The managed bond funds that Respondent and Pamela Geye recommended  
24 to Oregon resident CH are securities as defined by ORS 59.015(19)(a).

25 10. In recommending that Oregon resident CH sell his Fidelity stocks, remove  
26 funds from his savings and checking accounts, and transfer funds from his current IRA



1 account to a new account, Respondent made recommendations or otherwise rendered  
2 advice regarding securities to an Oregon resident.

3 11. Respondent violated ORS 59.165(2).  
4

5 III. ORDERS

6 The Director issues the following ORDERS:

7 Final Order to Cease and Desist

8 12. In accordance with ORS 59.245, Respondent is hereby ORDERED to  
9 CEASE AND DESIST from:

10 A. Acting as or in the capacity of an investment adviser without being licensed  
11 as required by ORS 59.165(2); and

12 B. Violating any provision of Oregon Revised Statutes chapter 59 or Oregon  
13 Administrative Rules adopted thereunder.

14 Final Order Assessing Civil Penalty

15 13. In accordance with ORS 59.995, the Director may assess CIVIL  
16 PENALTIES against persons who violate the Oregon Securities Law in an amount not  
17 to exceed \$20,000 per violation and, in the case of a continuing violation, each day's  
18 continuance is a separate violation, but the maximum penalty for any continuing  
19 violation shall not exceed \$100,000.

20 14. In accordance with ORS 59.995(1), the Director hereby assesses a CIVIL  
21 PENALTY against Respondent in the total amount of \$10,000 (ten thousand dollars),  
22 for acting as an investment adviser without holding a license issued under ORS  
23 59.165(2).

24 Respondent Will Not Apply for Securities License or Registration

25 15. Respondent agrees to not apply for, hold, or renew any securities license or  
26 registration in Oregon required by the Director, including but not limited to any

1 investment adviser, broker-dealer, or securities salesperson license.

2 Partial Suspension of Civil Penalty

3 16. The Director agrees to SUSPEND the collection of \$7,500 of the \$10,000  
4 CIVIL PENALTY assessed herein, upon the condition that Respondent complies with  
5 all terms and conditions set out in this Order and commits no new violations of the  
6 Oregon Securities Law, ORS chapter 59, or any Administrative Rules adopted  
7 thereunder.

8 17. If Respondent complies with all of the terms and conditions set out in this  
9 Order and commits no violations of the Oregon Securities Law during the five (5) year  
10 period from the date of issuance of this Order, the Director hereby agrees to WAIVE the  
11 \$7,500 suspended CIVIL PENALTY.

12 18. The Director reserves the right to immediately assess and collect the \$7,500  
13 suspended CIVIL PENALTY upon a determination that Respondent has violated any  
14 term of this Order.

15 19. The remaining portion of the CIVIL PENALTY assessed against  
16 Respondent in the amount of \$2,500 (two thousand five hundred dollars) is due and  
17 payable to the Department of Consumer and Business Services at the time of  
18 Respondent's execution of this Order.

19 20. This Order is a Final Order under ORS 183.310(6)(b). Subject to that  
20 provision, the entry of this Order does not limit other remedies that may be available to

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Division of Finance and Corporate Securities  
Labor and Industries Building  
350 Winter Street NE, Suite 410  
Salem, OR 97301-3881  
Telephone: (503) 378-4387



1 the Director under Oregon law.

2 SO ORDERED this 14th day of December, 2015 in  
3 Salem, Oregon.

4 PATRICK M. ALLEN, Director  
5 Department of Consumer and Business Services

6 /s/ David Tatman  
7 David C. Tatman, Administrator  
8 Division of Finance and Corporate Securities

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CONSENT TO ENTRY OF ORDER BY CHRISTOPHER S. GEYE

As authorized by ORS 59.135(4), I attest that I have read the foregoing Order and I know and fully understand the contents hereof. I have been represented by counsel in this matter, or have had the opportunity to discuss this matter with my counsel. I have been advised of my right to a hearing, and I expressly waive any right to a hearing. I voluntarily consent to the entry of this Order, without any force or duress, and I will fully comply with the terms and conditions stated herein.

I understand that this Order is a public document.

/s/ Christopher S. Geye  
Christopher S. Geye

State of Oregon

County of Josephine

Signed or attested before me on this 13th day of November, 2015  
by Christopher S. Geye.

/s/ Heather J. Gergel  
Notary Public

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