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

In the Matter of  
ADVANCED PLANNING SECURITIES, INC.,  
Respondent.  

PETITION FOR ORDER OF  
REVOCATION OF BROKER-DEALER LICENSE  
(SUMMARY)  

File No. S-07032 (LX)  

The staff of the Bureau of Enforcement and the Bureau of Professional Registration & Compliance of the Division of Securities, Department of Financial Institutions, State of Wisconsin, has conducted an investigation in this matter pursuant to § 551.56, Wis. Stats., and as a result thereof alleges as follows:

1. Advanced Planning Securities, Inc. ("Advanced Planning") is a New York corporation with a last known business address of 222 Middle Country Road, Suite 209, Smithtown, New York 11787. It is a licensed broker-dealer in Wisconsin (CRD # 14382).

2. Edward D. Puttick, Sr. ("Puttick") (CRD # 724402) is an individual who was the president of Advanced Planning from August 1991 through August, 2006, during which time he approved several private placement offerings created by Endeavor Partners and Charles C. Slowey, Jr., for sale to the customers of APS through its registered representatives. He is currently employed by Waterford Investor Services, Inc., (CRD# 390682) at the same address as Advanced Planning.


4. Advanced Planning, through its agents, recommended the purchase, sale or exchange of a security to customers without reasonable grounds to believe the recommendation was suitable for the customers on the basis of information furnished by the customers after reasonable inquiry concerning each customer’s investment objectives, financial situation and needs, and any other information known by the broker-dealer through its agents;

5. The action described in the preceding paragraph is deemed to be a “dishonest and unethical practices” or “taking unfair advantage of a customer” pursuant to Wis. Admin. Code DFI-Sec. § 4.06.
6. Upon information and belief, Advanced Planning terminated its registration with the SEC and FINRA on February 24, 2009, and requested termination in Wisconsin on December 31, 2008, and Advanced Planning has ceased doing business as a broker-dealer, which is a ground for revocation of its license pursuant to § 551.34(5), Wis. Stats.;

Therefore, the staff of the Bureau of Enforcement and Bureau of Professional Registration & Compliance petitions the Administrator of the Division of Securities for the issuance of the attached Order pursuant to § 551.34(5), Wis. Stats.

Nancy R. Jackson  12/05/09  Leslie M. Van Buskirk  12/15/09
Nancy R. Jackson  Date  Leslie M. Van Buskirk  Date
Securities Examiner  Attorney Supervisor
Bureau of Professional Registration & Compliance  Bureau of Enforcement