

**COMMONWEALTH OF KENTUCKY  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
AGENCY CASE NO. 2009-AH-012  
ADMINISTRATIVE ACTION NO. 09-PPC-0050**

DEPARTMENT OF FINANCIAL INSTITUTIONS

PETITIONER

V.

STEVE BERTRAM MOORE, JR.

RESPONDENT

**AGREED ORDER**

\* \* \* \* \*

The Department of Financial Institutions (DFI), is the agency of Kentucky state government charged with administering the provisions of the Securities Act of Kentucky (Act), KRS Chapter 292, and the rules, regulations and orders enacted pursuant to the Act.

**BACKGROUND**

On February 18, 2009, the Commissioner of the DFI entered an Order pursuant to KRS 292.330(13)(a)1 of the Act denying the application of Respondent Steve Bertram Moore, Jr. for registration in Kentucky as an agent of Energy Exploration, Inc. Respondent filed a timely request for a hearing in the matter.

As indicated in the Order of denial, the Commissioner found that Respondent failed to disclose a prior felony conviction on his application. The undisclosed conviction occurred in Illinois in 1987 when Respondent was seventeen years old. Respondent has indicated to DFI that he did not think he had to disclose this conviction because it occurred when he was a minor and, further, he did not remember nature of the conviction. In addition, he has stated that, prior to submitting his agent application to the DFI, he obtained his criminal history record and the felony did not appear on that record. He has provided a copy of that record to the DFI. The

record is a report prepared by the Pretrial Services Agency of the Kentucky Administrative Office of the Courts (AOC). The 1987 felony, in fact, does not appear on that particular report although a 1999 incident which resulted in a felony charge does appear on the AOC report. Respondent did disclose the 1999 charge on his application. That charge was amended down to misdemeanor status.

### **SETTLEMENT AGREEMENT**

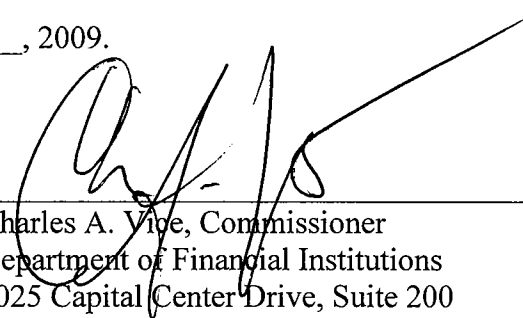
In light of the foregoing, the parties have agreed to settle his matter without further legal proceedings upon the following terms:

- 1) Respondent agrees to pay an administrative penalty to the DFI in the amount of \$300 and understands that all felony charges and convictions must be disclosed on the Form U-4.
- 2) Respondent understands by entering into this agreed order, he waives his right to a hearing in this matter.
- 3) DFI agrees to approve the application of Respondent upon receiving proof within 90 days of the date of this Order that Respondent has passed the Series 22 exam.

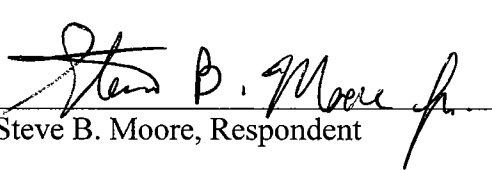
### **ORDER**

The Commissioner finds the terms of settlement set forth above will not impair the ability of the DFI to administer the Act and the public interest is sufficiently protected. Accordingly, the Commissioner ORDERS that the order denying the application of Respondent is vacated and the terms of settlement set forth in this Agreed Order are accepted.

Entered the 30<sup>th</sup> day of April, 2009.

  
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Charles A. Vipe, Commissioner  
Department of Financial Institutions  
1025 Capital Center Drive, Suite 200  
Frankfort, Kentucky 40601  
Phone (502)573-3390  
Fax (502) 573-8787

Agreed to by:

  
\_\_\_\_\_  
Steve B. Moore, Respondent

CERTIFICATE OF SERVICE

I, Paula Call, certify that on the 5<sup>th</sup> day of May, 2009, a copy of this Agreed Order in Agency Case No. 2009-AH-012

was mailed by regular mail to:

Steve B. Moore, Jr.  
624 Wilbur Glass Road  
Edmonton, KY 42129

Paula Call