



4. From on or about May 31, 2018 through the present, BFP was registered as an investment advisor with the Ohio Department of Commerce, Division of Securities.

5. From in or about April 2022 until April 2023, BFP transacted business in Pennsylvania as an investment advisor while neither registered nor exempt from registration

#### **VIOLATION**

6. By engaging in the acts and conduct set forth in paragraphs 4 and 5 above, BFP employed at least one unregistered investment advisor in violation of Section 301(c) of the 1972 Act, 70 P.S. § 1-301(c).

#### **RELIEF**

7. Within 30 days of the Effective date of this Order, as defined in Paragraph 15, BFP shall pay the Department an administrative assessment in the amount of \$22,000.00. Payment shall be made by certified check or money order made payable to the "Department of Banking and Securities" and shall be mailed or delivered in person to the Bureau of Securities Compliance and Examinations located at 17 N. Second Street, Suite 1300, Harrisburg, Pennsylvania 17101.

8. BFP is ORDERED to comply with the 1972 Act, and Regulations adopted by the Department, and in particular Section 301(c) of the 1972 Act, 70 P.S. § 1-301(c).

9. Should BFP fail to pay the assessment as set forth in paragraph 7 above, the sanctions set forth elsewhere in the Order shall continue in full force and effect until full payment is made. However, this provision shall not be construed as affording BFP the option of either paying the assessment or being indefinitely subject to the sanctions.

10. Should BFP fail to comply with any and/or all provisions of this Order, the Department may impose additional sanctions and costs and seek other appropriate relief subject to BFP's right to a hearing pursuant to the 1972 Act.

## FURTHER PROVISIONS

11. Consent. BFP hereby knowingly, willingly, voluntarily and irrevocably consents to the entry of this Order pursuant to the Bureau's authority under the 1972 Act and agrees that it understands all of the terms and conditions contained herein. BFP, by voluntarily entering into this Order, waives any right to a hearing or appeal concerning the terms, conditions, and/or penalties set forth in this Order.

12. Entire Agreement. This Order contains the entire agreement between the Department and BFP. There are no other terms, obligations, covenants, representations, statements, conditions, or otherwise, of any kind whatsoever concerning this Order. This Order may be amended in writing by mutual agreement by the Department and BFP.

13. Binding Nature. The Department, BFP, and all officers, owners, directors, employees, heirs and assigns of BFP intend to be and are legally bound by the terms of this Order.

14. Counsel. This Order is entered into by the parties upon full opportunity for legal advice from legal counsel.

15. Effectiveness. BFP hereby stipulates and agrees that the Order shall become effective on the date the Bureau executes the Order ("Effective Date").

16. Other Enforcement Action.

(a) The Department reserves all of its rights, duties, and authority to enforce all statutes, rules, and regulations under its jurisdiction against BFP in the future regarding all matters not resolved by this Order.

(b) BFP acknowledges and agrees that this Order is only binding upon the Department and not any other local, state or federal agency, department, or office regarding matters within this Order.

17. Authorization. The parties below are authorized to execute this Order and legally bind their respective parties.

18. Counterparts. This Order may be executed in separate counterparts, by facsimile and/or by PDF.

19. Titles. The titles used to identify the paragraphs of this document are for the convenience of reference only and do not control the interpretation of this document.

20. Finding. The Department finds that it is necessary and appropriate in the public interest and for the protection of investors, and consistent with the purposes fairly intended by the policy and provisions of the 1972 Act to issue this Order.

**WHEREFORE**, in consideration of the foregoing, including the recital paragraphs, the Commonwealth of Pennsylvania, Department of Banking and Securities, Bureau of Securities Compliance and Examinations and Bricker Financial Planning, LLC, intending to be legally bound, do hereby execute this Consent Agreement and Order.

**FOR THE COMMONWEALTH OF PENNSYLVANIA  
DEPARTMENT OF BANKING AND SECURITIES  
BUREAU OF SECURITIES COMPLIANCE AND EXAMINATIONS**

Redacted

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Eric Pistilli, Deputy Secretary for Securities

Date: 08/29/2023

**FOR BRICKER FINANCIAL PLANNING, LLC**

Redacted

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(Signature)



Gregory T Bicker  
(Print Officer Name)

Date: 8/22/2023