IAPD Report

BRUCE ROBERT GEIGER

CRD# 1591606

IAPD Information About Representatives

IAPD offers information on all current-and many former representatives. Investors are strongly encouraged to use IAPD to check the background of representatives before deciding to conduct, or continue to conduct, business with them.

What is included in a IAPD report?

IAPD reports for individual representatives include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards.

It is important to note that the information contained in an IAPD report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

Where did this information come from?

The information contained in IAPD comes from the Investment Adviser Registration Depository (IARD) and FINRA's Central Registration Depository, or CRD, (see more on CRD below) and is a combination of:

- information the states require representatives and firms to submit as part of the registration and licensing process, and
- information that state regulators report regarding disciplinary actions or allegations against representatives.

How current is this information?

Generally, representatives are required to update their professional and disciplinary information in IARD within 30 days.

Need help interpreting this report?

For help understanding how to read this report, please consult NASAA's IAPD Tips page http://www.nasaa.org/IAPD/IARReports.cfm

What if I want to check the background of an Individual Broker or Brokerage Firm?

To check the background of an Individual Broker or Brokerage firm, you can search for the firm or individual in IAPD. If your search is successful, click on the link provided to view the available licensing and registration information in FINRA's BrokerCheck website.

Are there other resources I can use to check the background of investment professionals?

It is recommended that you learn as much as possible about an individual representative or Investment Adviser firm before deciding to work with them. Your state securities regulator can help you research individuals and certain firms doing business in your state. The contact information for state securities regulators can be found on the website of the North American Securities Administrators Association http://www.nasaa.org

Report Summary

BRUCE ROBERT GEIGER (CRD# 1591606)

The report summary provides an overview of the representative's professional background and conduct. The information contained in this report has been provided by the representative, investment adviser and/or securities firms, and/or securities regulators as part of the states' investment adviser registration and licensing process. The information contained in this report was last updated by the representative, a previous employing firm, or a securities regulator on **01/22/2024**.

CURRENT EMPLOYERS

	Firm	CRD#	Registered Since
B	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024
IA	OSAIC WEALTH, INC.	CRD# 23131	01/19/2024

QUALIFICATIONS

This representative is currently registered in **1** SRO(s) and **2** jurisdiction(s).

Is this representative currently Inactive or Suspended with any regulator? **No**

Note: Not all jurisdictions require IAR registration or may have an exemption from registration.
Additional information including this individual's qualification examinations and professional designations is available in the Detailed Report.

REGISTRATION HISTORY

This representative was previously registered with the following firm(s):

	FIRM	CRD#	LOCATION	REGISTRATION DATES
B	WOODBURY FINANCIAL SERVICES, INC.	421	VISALIA, CA	12/18/2015 - 01/19/2024
IA	WOODBURY FINANCIAL SERVICES, INC.	421	VISALIA, CA	11/30/2015 - 01/19/2024
IA	WOODBURY FINANCIAL SERVICES, INC.	421	VISALIA, CA	12/02/2010 - 07/17/2015

For additional registration and employment history details as reported by the individual, refer to the Registration and Employment History section of the Detailed Report.

DISCLOSURE INFORMATION

Disclosure events include certain criminal charges and convictions, formal investigations and disciplinary actions initiated by regulators, customer disputes and arbitrations, and financial disclosures such as bankruptcies and unpaid judgments or liens.

Are there events disclosed about this representative? **Yes**

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2

Qualifications

REGISTRATIONS

This section provides the SRO, states and U.S. territories in which the representative is currently registered and licensed, the category of each registration, and the date on which the registration becomes effective. This section also provides, for each firm with which the representative is currently employed, the address of each location where the representative works.
This individual is currently registered with **2** jurisdiction(s) and 1 SRO(s) through his or her employer(s).

Employment 1 of 1

Firm Name:	**OSAIC WEALTH, INC.**
Main Address:	18700 N. HAYDEN ROAD SUITE 255 SCOTTSDALE, AZ 85255
Firm ID#:	23131

	Regulator	Registration	Status	Date
B	FINRA	General Securities Representative	Approved	01/19/2024
B	FINRA	Invest. Co and Variable Contracts	Approved	01/19/2024
B	California	Agent	Approved	01/19/2024
IA	California	Investment Adviser Representative	Approved	01/19/2024
B	Texas	Agent	Approved	01/19/2024
IA	Texas	Investment Adviser Representative	Restricted Approval	01/19/2024

Branch Office Locations

OSAIC WEALTH, INC.
17202C AVE 296
VISALIA, CA 93292

Qualifications

PASSED INDUSTRY EXAMS

This section includes all industry exams that the representative has passed. Under limited circumstances, a representative may attain registration after receiving an exam waiver based on a combination of exams the representative has passed and qualifying work experience. Likewise a new exam requirement may be grandfathered based on a representative's specific qualifying work experience. Exam waivers and grandfathering are not included below.

This individual has passed 0 principal/supervisory exams, 3 general industry/product exams, and 1 state securities law exam.

Principal/Supervisory Exams

	Exam	Category	Date
	No information reported.		

General Industry/Product Exams

	Exam	Category	Date
B	Securities Industry Essentials Examination (SIE)	SIE	10/01/2018
B	General Securities Representative Examination (S7)	Series 7	07/13/2004
B	Investment Company Products/Variable Contracts Representative Examination (S6)	Series 6	01/29/1987

State Securities Law Exams

	Exam	Category	Date
IA B	Uniform Combined State Law Examination (S66)	Series 66	08/25/2005

PROFESSIONAL DESIGNATIONS

This section details that the representative has reported **1** professional designation(s).

Chartered Financial Consultant

Only professional designations listed in Question 8 of the Form U4 will appear in this section if the appropriate box is checked and verified by the issuing organization at the time of the filing. Learn more about eligible designations at IARD and NASAA.

Registration & Employment History

PREVIOUSLY REGISTERED WITH THE FOLLOWING FIRMS

This representative held registrations with the following firms:

	Registration Dates	Firm Name	ID#	Branch Location
B	12/18/2015 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	VISALIA, CA
IA	11/30/2015 - 01/19/2024	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	VISALIA, CA
IA	12/02/2010 - 07/17/2015	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	VISALIA, CA
B	12/01/2010 - 07/17/2015	WOODBURY FINANCIAL SERVICES, INC.	CRD# 421	VISALIA, CA
IA	04/20/2006 - 12/09/2010	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	VISALIA, CA
B	06/09/1987 - 12/09/2010	THRIVENT INVESTMENT MANAGEMENT INC.	CRD# 18387	VISALIA, CA

EMPLOYMENT HISTORY

Below is the representative's employment history for up to the last 10 years.

Employment Dates	Employer Name	Position	Investment Related	Employer Location
01/2024 - Present	OSAIC WEALTH, INC.	Mass Transfer	Y	VISALIA, CA, United States
11/2015 - 01/2024	WOODBURY FINANCIAL SERVICES INC	REGISTERED REPRESENTATIVE	Y	VISALIA, CA, United States

OTHER BUSINESS ACTIVITIES

This section includes information, if any, as provided by the representative regarding other business activities the representative is currently engaged in either as a proprietor, partner, officer, director, employee, trustee, agent, or otherwise. This section does not include non-investment related activity that is exclusively charitable, civic, religious, or fraternal and is recognized as tax exempt.

GEIGER FINANCIAL
POSITION: Agent NATURE: Sole Proprietorship INVESTMENT RELATED: No NUMBER OF HOURS: 240 SECURITIES TRADING HOURS: 60 START DATE: 10/23/1979
ADDRESS: 17202C Ave 296, Visalia CA 93292, United States
DESCRIPTION: outside sales of insurance products

Disclosure Summary

Disclosure Information

What you should know about reported disclosure events:

(1) Certain thresholds must be met before an event is reported to IARD, for example:

- A law enforcement agency must file formal charges before an Investment Adviser Representative is required to report a particular criminal event.;
- A customer dispute must involve allegations that an Investment Adviser Representative engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least $5,000.

(2) Disclosure events in IAPD reports come from different sources:

As mentioned in the "About IAPD" section on page 1 of this report, information contained in IAPD comes from Investment Adviser Representatives, firms and regulators. When more than one of these sources reports information for the same disclosure event, all versions of the event will appear in the IAPD report. The different versions will be separated by a solid line with the reporting source labeled.

(3) There are different statuses and dispositions for disclosure events:

- A disclosure event may have a status of *pending, on appeal,* or *final*.
  - A "pending" disclosure event involves allegations that have not been proven or formally adjudicated.
  - A disclosure event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
  - A "final" disclosure event has been concluded and its resolution is not subject to change.
- A final disclosure event generally has a disposition of *adjudicated, settled* or *otherwise resolved*.
  - An "adjudicated" matter includes a disposition by (1) a court of law in a criminal or civil matter, or (2) an administrative panel in an action brought by a regulator that is contested by the party charged with some alleged wrongdoing.
  - A "settled" matter generally represents a disposition wherein the parties involved in a dispute reach an agreement to resolve the matter. Please note that Investment Adviser Representatives and firms may choose to settle customer disputes or regulatory matters for business or other reasons.
  - A "resolved" matter usually includes a disposition wherein no payment is made to the customer or there is no finding of wrongdoing on the part of the Investment Adviser Representative. Such matters generally involve customer disputes.

(4) You may wish to contact the Investment Adviser Representatives to obtain further information regarding any of the disclosure events contained in this IAPD report.

DISCLOSURE EVENT DETAILS

When evaluating this information, please keep in mind that some items may involve pending actions or allegations that may be contested and have not been resolved or proven. The event may, in the end, be withdrawn, dismissed, resolved in favor of the Investment Adviser Representative, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to the Investment Adviser Registration Depository. Some of the specific data fields contained in the report may be blank if the information was not provided.

The following types of events are disclosed about this representative:

Type	Count
Regulatory Event	2

Regulatory Event

This disclosure event may include a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, a federal regulator such as the Securities and Exchange Commission or the Commodities Futures Trading Commission, or a foreign financial regulatory body) for a violation of investment-related rules or regulations. This disclosure event may also include a revocation or suspension of an Investment Adviser Representative's authority to act as an attorney, accountant or federal contractor.

Disclosure 1 of 2

Reporting Source:	Individual
Regulatory Action Initiated By:	California Department of Insurance
Sanction(s) Sought:	Suspension
Date Initiated:	01/08/2016
Docket/Case Number:	LBB 9786-AP
Employing firm when activity occurred which led to the regulatory action:	Woodbury Financial Services,Inc.
Product Type:	No Product
Allegations:	The California Department of Insurance alleges the representative did not notify them timely regarding his FINRA regulatory action. The department proposes a 3 week suspension.
Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	02/09/2016
Sanctions Ordered:	Suspension

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	Accident, Health and Life only agent.
Duration:	1 week
Start Date:	03/21/2016
End Date:	03/27/2016
Broker Statement	On January 29, 2016 a reconsideration request was submitted to the California Department of Insurance.

Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/30/2014
Docket/Case Number:	2011026440401
Employing firm when activity occurred which led to the regulatory action:	THRIVENT INVESTMENT MANAGEMENT INC.
Product Type:	No Product
Allegations:	GEIGER WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HE FALSIFIED DOCUMENTS RELATING TO THE ACCOUNTS OF CUSTOMERS AT HIS MEMBER FIRM. THE COMPLAINT ALLEGES THAT GEIGER REGULARLY ADDED DATES TO CUSTOMERS' SIGNATURES AFTER CUSTOMERS HAD SIGNED FORMS, RE-USED CUSTOMERS' SIGNATURES TAKEN FROM FORMS THAT THEY HAD PREVIOUSLY EXECUTED, AND ALTERED THE DATES OF THE CUSTOMERS' SIGNATURES. IN EACH INSTANCE, GEIGER SUBMITTED THE ALTERED FORMS TO HIS FIRM FOR PROCESSING. GEIGER'S REPEATED USE OF FALSIFIED DOCUMENTS TO FACILITATE TRANSACTIONS, INCLUDING BUT NOT LIMITED TO ANNUITY OR LIFE INSURANCE SETTLEMENT OPTION SURRENDERS, WITHDRAWALS AND TRANSFERS, AND LIFE INSURANCE DISTRIBUTIONS, WAS INCONSISTENT WITH HIS FIRM'S POLICIES AND PROCEDURES.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	06/24/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	
(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	
(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	

 Report about BRUCE ROBERT GEIGER.

Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE AND ONE-HALF MONTHS
Start Date:	07/20/2015
End Date:	11/03/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	11/24/2015
Was any portion of penalty waived?	No
Amount Waived:	
Regulator Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, GEIGER CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE FALSIFIED DOCUMENTS BY USING NON-AUTHENTIC SIGNATURES AND ALTERED DATES TO EFFECT TRANSACTIONS RELATING TO THE ACCOUNTS OF CUSTOMERS. THE FINDINGS STATED GEIGER ALTERED FORMS BY ADDING DATES TO CUSTOMERS' SIGNATURES AFTER THE CUSTOMERS HAD SIGNED THE FORMS, RE-USED ORIGINAL CUSTOMERS' SIGNATURE PAGES FROM FORMS THAT WERE PREVIOUSLY EXECUTED, AND ALTERED THE DATES OF THE CUSTOMERS' SIGNATURES. GEIGER FALSIFIED FORMS RELATING TO THE ACCOUNTS OF CUSTOMERS TO CAUSE DISBURSEMENTS TOTALING APPROXIMATELY $562,008.65. GEIGER'S MEMBER FIRM REMINDED HIM THAT RE-USING SIGNATURES, ALTERING DATES, AND COMPLETING FORMS IN PENCIL WERE INCONSISTENT WITH THE FIRM'S POLICIES AND PROCEDURES, BUT GEIGER CONTINUED TO ENGAGE IN EACH OF THESE PROHIBITED PRACTICES. Fine paid in full on November 24, 2015.

Reporting Source:	Firm
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/30/2014
Docket/Case Number:	2011026440401

Employing firm when activity occurred which led to the regulatory action:	THRIVENT INVESTMENT MANAGEMENT INC
Product Type:	No Product
Allegations:	GEIGER WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HE FALSIFIED DOCUMENTS RELATING TO THE ACCOUNTS OF CUSTOMERS AT HIS MEMBER FIRM. THE COMPLAINT ALLEGES THAT GEIGER REGULARLY ADDED DATES TO CUSTOMERS SIGNATURES AFTER CUSTOMERS HAS SIGNED FORMS, RE-USED CUSTOMERS SIGNATURES TAKES FROM FORMS THAT THEY HAD PREVIOUSLY EXECUTED AND ALTERED THE DATES OF THE CUSTOMERS SIGNATURES. IN EACH INSTANCE, GEIGER SUBMITTED THE ALTERED FORMS TO HIS FIRM FOR PROCESSING. GEIGERS REPEAT USE OF FALSIFIED DOCUMENTS TO FACILITATE TRANSACTIONS INCLUDING BUT NOT LIMITED TO ANNUITY OR LIFE INSURANCE SETTLEMENT OPTION SURRENDERS, WITHDRAWALS AND TRANSFERS, AND LIFE INSURANCE DISTRIBUTIONS WAS INCONSISTENT WITH HIS FIRMS POLICIES AND PROCEDURES.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Resolution Date:	06/24/2015
Sanctions Ordered:	Civil and Administrative Penalty(ies)/Fine(s) Suspension
If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?	No
(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?	

(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or	
(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?	
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	3.5 MONTHS
Start Date:	07/20/2015
End Date:	11/03/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	
Date Paid by individual:	
Was any portion of penalty waived?	No

Amount Waived:	
Firm Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, GEIGER CONSENTED TO THE SANCTIONS AND THE ENTRY OF FINDINGS THAT HE FALSIFIED DOCUMENTS BY USING NON-AUTHENTIC SIGNATURES AND ALTERED DATES TO EFFECT TRANSACTIONS RELATING TO THE ACCOUNTS OF CUSTOMERS. THE FINDINGS STATED GEIGER ALTERED FORMS BY ADDING DATES TO CUSTOMERS SIGNATURES AFTER THE CUSTOMERS HAD SIGNED THE FORMS, RE-USED ORIGINAL CUSTOMER SIGNATURE PAGES FORM THE FORMS THAT WERE PREVIOUSLY EXECUTED AND ALTERED THE DATES OF THE CUSTOMERS SIGNATURES. GEIGER FALSIFIED FORMS RELATING TO THE ACCOUNTS OF CUSTOMERS TO CAUSE DISBURSEMENTS TOTALING APPROXIMATELY $562,008.65. GEIGERS MEMBER FIRM REMINDED HIM THAT RE-USING SIGNATURES, ALTERING DATES AND COMPLETING FORMS IN PENCIL WERE INCONSISTENT WITH FIRM POLICIES AND PROCEDURES, BUT GEIGER CONTINUED TO ENGAGE IN EACH OF THESE PROHIBITED PRACTICES.

Reporting Source:	Individual
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/30/2014
Docket/Case Number:	2011026440401
Employing firm when activity occurred which led to the regulatory action:	THRIVENT INVESTMENT MANAGEMENT INC.
Product Type:	No Product
Allegations:	GEIGER WAS NAMED A RESPONDENT IN A FINRA COMPLAINT ALLEGING THAT HE ALTERED DOCUMENTS RELATING TO THE ACCOUNT OF CUSTOMER AT HIS MEMBER FIRM. THE COMPLAINT ALLEGES THAT GEIGER ADDED DATES TO CUSTOMERS' SIGNATURES AFTER CUSTOMERS HAD SIGNED FORMS, RE-USED CUSTOMERS' SIGNATURES TAKEN FROM FORMS THAT THEY HAD PREVIOUSLY EXECUTED, AND ALTERED THE DATES OF THE CUSTOMERS' SIGNATURES AS A MATTER OF CONVENIENCE FOR THE CUSOMTERS AND AT THE CUSTOMERS' REQUEST. IN EACH INSTANCE, GEIGER SUBMITTED THE ALTERED FORMS TO HIS FIRM FOR PROCESSING. GEIGER'S USE OF ALTERED DOCUMENTS TO FACILITATE TRANSACTIONS, INCLUDING BUT NOT LIMITED TO ANNUITY OR LIFE INSURANCE SETTLEMENT OPTION SURRENDERS, WITHDRAWALS AND TRANSFERS, AND LIFE INSURANCE DISTRIBUTIONS, WAS INCONSISTENT WITH HIS FIRM'S POLICIES AND PROCEDURES. ALL OF THESE TRANSACTIONS WERE AUTHORIZED BY THE CUSTOMERS.
Current Status:	Final
Resolution:	Decision & Order of Offer of Settlement
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No

Resolution Date:	06/24/2015
Sanctions Ordered:	Suspension
Sanction 1 of 1	
Sanction Type:	Suspension
Capacities Affected:	ALL CAPACITIES
Duration:	THREE AND ONE-HALF MONTHS
Start Date:	07/20/2015
End Date:	11/03/2015
Monetary Sanction 1 of 1	
Monetary Related Sanction:	Civil and Administrative Penalty(ies)/Fine(s)
Total Amount:	$5,000.00
Portion Levied against individual:	$5,000.00
Payment Plan:	
Is Payment Plan Current:	Yes
Date Paid by individual:	11/25/2015
Was any portion of penalty waived?	No
Amount Waived:	
Broker Statement	WITHOUT ADMITTING OR DENYING THE ALLEGATIONS, GEIGER CONSENTED TO THE SANCTIONS AND TO THE ENTRY OF FINDINGS THAT HE FALSIFIED DOCUMENTS BY USING NON-AUTHENTIC SIGNATURES AND ALTERED DATES TO EFFECT TRANSACTIONS RELATING TO THE ACCOUNTS OF CUSTOMERS. THE FINDINGS STATED GEIGER ALTERED FORMS BY ADDING DATES TO CUSTOMERS' SIGNATURES AFTER THE CUSTOMERS HAD SIGNED THE FORMS, RE-USED ORIGINAL CUSTOMERS' SIGNATURE PAGES FROM FORMS THAT WERE PREVIOUSLY EXECUTED, AND ALTERED THE DATES OF THE CUSTOMERS' SIGNATURES. GEIGER FALSIFIED FORMS RELATING TO THE ACCOUNTS OF CUSTOMERS TO CAUSE DISBURSEMENTS TOTALING APPROXIMATELY $562,008.65. GEIGER'S MEMBER FIRM REMINDED HIM THAT RE-USING SIGNATURES, ALTERING DATES, AND COMPLETING FORMS IN PENCIL WERE INCONSISTENT WITH THE FIRM'S POLICIES AND PROCEDURES, BUT GEIGER CONTINUED TO ENGAGE IN EACH OF THESE PROHIBITED PRACTICES. ALL TRANSACTIONS WERE AUTHORIZED BY THE CUSTOMER

End of Report

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