

STATE OF NORTH DAKOTA

BEFORE THE

COUNTY OF BURLEIGH

SECURITIES COMMISSIONER

In the Matter of the salesman	)	
application of Edward Weeks,	)	Registration Agreement
	)	
Respondent	)	

.....

WHEREAS, on May 26, 1999, the Securities Commissioner received the application for the registration of Edward Weeks as a securities salesman in North Dakota, through Dain Rauscher, Incorporated, his broker/dealer; and,

WHEREAS, the application of Edward Weeks was initiated because Forest Parsons, a client of Edward Weeks, moved to North Dakota and Mr. Weeks wishes to service that client account; and,

WHEREAS, the Commissioner has reviewed the application and has determined that Edward Weeks is the subject of a customer complaint alleging violations of securities laws and involving a large amount of money; and,

WHEREAS, the above statements are sufficient grounds so that the Commissioner could determine that Edward Weeks is not of good business reputation;

NOW, THEREFORE, it is hereby ordered and agreed as follows:

1. Edwin Weeks shall not transact securities business in North Dakota for any clients other than Forest Parsons; and,
2. The information set forth above will not be used by the Commissioner to deny the pending salesman application of Edward Weeks; and,
3. This registration agreement may not be altered or changed except through a written agreement between the Respondent and the Commissioner.

IT IS FURTHER HEREBY AGREED THAT if respondents violate or fail to comply with this agreement, such violation or failure shall be sufficient grounds for the Commissioner to revoke the registration of Edward Weeks as a salesman in North Dakota.

Edward Weeks hereby affirmatively waives any and all objections to the applicability or enforceability of any and all provisions contained in this registration agreement.

Signed by my hand and Seal this 29<sup>th</sup> day of July, 1999.

Syver Vinje

Syver Vinje, Securities Commissioner  
Office of the Securities Commissioner  
State Capitol – Fifth Floor  
600 East Boulevard Ave.  
Bismarck, ND 58505-0510  
Ph. (701) 328-4701

(SEAL)

Signed and agreed to this 19<sup>th</sup> day of July, 1999.

Edward Weeks  
Dain Rauscher, Incorporated  
60 south Sixth Street  
Minneapolis, MN 55402-4422

By: Edward Weeks  
(Type or Print Name)

Signed: Edward Weeks  
Capacity: Investment Executive

Subscribed and Sworn before me this 20 day of July, 1999.

Bonnie L. Barckhoff  
Notary Public

(Notary Seal)

State: Iowa County: Johnson  
My Commission Expires:  
12/16/2000