

BrokerCheck Report

LOUIS PETER GOFF

CRD# 4882759

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When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck 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 broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

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

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit www.finra.org.



LOUIS P. GOFF
CRD# 4882759

This broker is not currently registered.

Report Summary for this Broker

This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 0 Principal/Supervisory Exams
- 2 General Industry/Product Exams
- 1 State Securities Law Exam

Registration History

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

- B** **WELLS FARGO CLEARING SERVICES, LLC**
CRD# 19616
SALT LAKE CITY, UT
09/2011 - 10/2023
- B** **HORNOR, TOWNSEND & KENT, INC.**
CRD# 4031
SALT LAKE CITY, UT
04/2008 - 10/2009
- B** **LINCOLN FINANCIAL ADVISORS CORPORATION**
CRD# 3978
OGDEN, UT
09/2005 - 04/2008

Disclosure Events

All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.

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

The following types of disclosures have been reported:

Type	Count
Regulatory Event	2
Civil Event	1

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs) and U.S. states/territories the broker is currently registered and licensed with, the category of each license, and the date on which it became effective. This section also provides, for every brokerage firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 0 principal/supervisory exams, 2 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	10/01/2018
B General Securities Representative Examination	Series 7	07/07/2005

State Securities Law Exams

Exam	Category	Date
B Uniform Securities Agent State Law Examination	Series 63	07/26/2005

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 09/2011 - 10/2023	WELLS FARGO CLEARING SERVICES, LLC	19616	SALT LAKE CITY, UT
B 04/2008 - 10/2009	HORNOR, TOWNSEND & KENT, INC.	4031	SALT LAKE CITY, UT
B 09/2005 - 04/2008	LINCOLN FINANCIAL ADVISORS CORPORATION	3978	OGDEN, UT
B 09/2005 - 05/2006	THE LINCOLN NATIONAL LIFE INSURANCE COMPANY	2580	FORT WAYNE, IN
B 07/2005 - 09/2005	NYLIFE SECURITIES INC.	5167	NEW YORK, NY

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
11/2016 - Present	WELLS FARGO CLEARING SERVICES, LLC	REGISTERED REPRESENTATIVE	Y	SALT LAKE CITY, UT, United States
08/2011 - 11/2016	WELLS FARGO ADVISORS LLC	REGISTERED REPRESENTATIVE	Y	SALT LAKE CITY, UT, United States

Other Business Activities

This section includes information, if any, as provided by the broker regarding other business activities the broker 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.

No information reported.

Disclosure Events



What you should know about reported disclosure events:

1. All individuals registered to sell securities or provide investment advice are required to disclose customer complaints and arbitrations, regulatory actions, employment terminations, bankruptcy filings, and criminal or civil judicial proceedings.
2. **Certain thresholds must be met before an event is reported to CRD, for example:**
 - A law enforcement agency must file formal charges before a broker is required to disclose a particular criminal event.
 - A customer dispute must involve allegations that a broker engaged in activity that violates certain rules or conduct governing the industry and that the activity resulted in damages of at least \$5,000.
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3. **Disclosure events in BrokerCheck reports come from different sources:**
 - As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, brokerage 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 BrokerCheck report. The different versions will be separated by a solid line with the reporting source labeled.
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4. **There are different statuses and dispositions for disclosure events:**
 - A disclosure event may have a status of *pending*, *on appeal*, or *final*.
 - A "pending" event involves allegations that have not been proven or formally adjudicated.
 - An event that is "on appeal" involves allegations that have been adjudicated but are currently being appealed.
 - A "final" event has been concluded and its resolution is not subject to change.
 - A final 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 involves an agreement by the parties to resolve the matter. Please note that brokers and brokerage firms may choose to settle customer disputes or regulatory matters for business or other reasons.
 - A "resolved" matter usually involves no payment to the customer and no finding of wrongdoing on the part of the individual broker. Such matters generally involve customer disputes.

For your convenience, below is a matrix of the number and status of disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Pending	Final	On Appeal
Regulatory Event	0	2	0
Civil Event	0	1	0



Disclosure Event Details

When evaluating this information, please keep in mind that a disclosure event may be pending or involve allegations that are contested and have not been resolved or proven. The matter may, in the end, be withdrawn, dismissed, resolved in favor of the broker, or concluded through a negotiated settlement for certain business reasons (e.g., to maintain customer relationships or to limit the litigation costs associated with disputing the allegations) with no admission or finding of wrongdoing.

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event may involve (1) a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulatory such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations; or (2) a revocation or suspension of a broker's authority to act as an attorney, accountant, or federal contractor.

Disclosure 1 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Other: N/A
Date Initiated:	03/04/2024
Docket/Case Number:	3-21883
Employing firm when activity occurred which led to the regulatory action:	Edger Solutions, LLC and Edger Solutions Management, LLC
Product Type:	Investment Contract
Allegations:	The Securities and Exchange Commission ("Commission") deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted against Louis Peter Goff ("Goff" or "Respondent"). In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement (the "Offer") which the Commission has determined to accept. The Commission finds that on January 11, 2024, a final judgment was entered by consent against Goff, permanently enjoining him from future violations of Section 17(a) of the Securities Act of 1933 ("Securities Act"), and Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, in the civil action entitled Securities and Exchange Commission v. Goff, et al., Civil Action Number 2:23-cv00663, in the United States District Court, District of Utah, Central Division. The Commission's



complaint alleged that from at least October 2019, in connection with the sale of Edger investment contracts for a foreign currency trading program, Goff made false statements about investors' account values; profitability of their Edger accounts; current and historical account returns; Goff's experience and qualifications; and his personal management of over \$750 million in client funds. The complaint also alleged that Goff failed to disclose to investors in Edger that their funds were transferred to bank and foreign currency trading accounts controlled by Phoenix Outsourced Development, LLC, which was operated by a securities law recidivist. The complaint alleged Goff reviewed and approved Edger's Private Placement Memorandum, and monthly performance reports for investors, both of which contained material misrepresentations and omissions. Finally, the Commission's complaint alleges that Goff failed to disclose to investors in Edger that all trading on behalf of Edger was done by a securities fraud recidivist and convicted felon.

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:	03/04/2024
Sanctions Ordered:	Bar (Permanent)
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 2

Sanction Type: Bar (Permanent)

Capacities Affected: Participating in any Penny Stock offering

Duration: Indefinite

Start Date: 03/04/2024

End Date:

Sanction 2 of 2

Sanction Type: Bar (Permanent)

Capacities Affected: Association with a broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or NRSRO

Duration: Indefinite

Start Date: 03/04/2024

End Date:

Regulator Statement Accordingly, it is hereby ordered that Respondent Goff be, and hereby is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization (NRSRO) and is barred from participating in any offering of a penny stock.



Disclosure 2 of 2

Reporting Source:	Regulator
Regulatory Action Initiated By:	FINRA
Sanction(s) Sought:	Other: N/A
Date Initiated:	12/20/2023
Docket/Case Number:	2023080053501
Employing firm when activity occurred which led to the regulatory action:	Wells Fargo Clearing Services, LLC
Product Type:	No Product
Allegations:	Without admitting or denying the findings, Goff consented to the sanction and to the entry of findings that he refused to provide documents and information requested by FINRA in connection with an investigation that originated from its review of a filing by another regulator.
Current Status:	Final
Resolution:	Acceptance, Waiver & Consent(AWC)
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:	12/20/2023
Sanctions Ordered:	Bar (Permanent)
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:	Bar (Permanent)
Capacities Affected:	All capacities
Duration:	Indefinite
Start Date:	12/20/2023
End Date:	



Civil - Final

This type of disclosure event involves (1) an injunction issued by a court in connection with investment-related activity, (2) a finding by a court of a violation of any investment-related statute or regulation, or (3) an action brought by a state or foreign financial regulatory authority that is dismissed by a court pursuant to a settlement agreement.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Injunction
Date Court Action Filed:	09/25/2023
Product Type:	Other: Unspecified Securities
Type of Court:	Federal Court
Name of Court:	United States District Court for the District of Utah
Location of Court:	Salt Lake City, UT
Docket/Case #:	2:23-cv-00663
Employing firm when activity occurred which led to the action:	Edger Solutions, LLC; Edger Solutions Management, LLC
Allegations:	<p>Securities and Exchange Commission (the "Commission"), brings this civil law enforcement action against Defendants Phoenix Outsourced Development, LLC ("Phoenix"), Edger Solutions Management, LLC ("Edger Management"), Michael P. McLaughlin ("Michael McLaughlin"), Derek A. McLaughlin ("Derek McLaughlin"), Louis Peter Goff ("Goff"), Brian Hubbard ("Hubbard"), Eric J. Fairbourn ("Fairbourn"), and Nicholas F. Deluca ("Deluca") (collectively, "Defendants"), and hereby alleges as follows: This matter involves a fraudulent securities offering run by six individuals, Michael McLaughlin, Derek McLaughlin, Goff, Hubbard, Fairbourn, and Deluca through two entities associated and controlled by them, Phoenix and Edger Management.</p> <p>From approximately June 2019 through April 2020, the Defendants raised more than \$2.1 million from at least 49 investors in connection with a fraudulent offering of subscription agreements in two pooled investment funds. The Defendants falsely told investors that their investments in two funds, POD Solutions, LLC ("PODS") and Edger Solutions, LLC ("Edger,") would generate guaranteed profits from a high-yield foreign currency ("Forex") trading program.</p> <p>The Defendants made numerous material misrepresentations to investors in each fund concerning the existence and structure of the fees charged to each fund, the method by which profits and losses were calculated in the funds, and the present</p>



and past performance of each fund. Defendants engaged in a scheme to deceive investors and furthered this scheme by fabricating monthly account statements to show false and inflated values in investor accounts.

The McLaughlins also misappropriated investor funds by paying themselves management fees for which they were not entitled. Most notably, the Defendants failed to disclose to investors that the individual who would purportedly execute the Forex trading program was a convicted felon and a securities fraud recidivist. As a result of the foregoing conduct, Defendants violated the antifraud provisions of the federal securities laws.

Current Status: Final

Resolution: Judgment Rendered

Resolution Date: 01/11/2024

Sanctions Ordered or Relief Granted: Civil and Administrative Penalty(ies)/Fine(s)
Injunction

Capacities 1 of 1

Capacities Affected: N/A

Duration: Permanent

Start Date: 01/11/2024

End Date:

Monetary Sanction 1 of 1

Monetary Sanction: Monetary Fine

Total Amount: \$60,000.00

Portion against individual: 60000

Date Paid:

Portion Waived: No

Amount Waived:

Regulator Statement

On January 11, 2024, the U.S. District Court for the District of Utah, Central Division, issued this Final Judgment as to Defendant Louis Peter Goff. The Securities and Exchange Commission having filed a Complaint and Defendant having entered a general appearance; consented to the Court's jurisdiction over Defendant and the subject matter of this action; consented to entry of this Final Judgment without admitting or denying the allegations of the Complaint (except as to jurisdiction and except as otherwise provided herein); waived findings of fact and conclusions of law; and waived any right to appeal from this Final Judgment: It



is hereby ordered, adjudged, and decreed that Defendant is permanently restrained and enjoined from violating, directly or indirectly, Section 10(b) of the Securities Exchange Act of 1934 and Rule 10b-5 promulgated thereunder; permanently restrained and enjoined from violating Section 17(a) of the Securities Act of 1933, directly or indirectly; and pursuant to Section 20(b) of the Securities Act and Sections 21(d)(1) and 21(d)(5) of the Exchange Act, Defendant is permanently restrained and enjoined from directly or indirectly, including, but, not limited to, through any entity owned or controlled by Defendant, participating in the issuance, purchase, offer, or sale of any security, provided, however, that such injunction shall not prevent him from purchasing or selling securities for his own personal account. It is hereby further ordered, adjudged, and decreed that Defendant is liable for a civil penalty in the amount of \$60,000.

Reporting Source:	Broker
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Injunction
Date Court Action Filed:	09/25/2023
Product Type:	Other: Unspecified Securities
Type of Court:	Federal Court
Name of Court:	United States District Court for the District of Utah
Location of Court:	Salt Lake City, UT
Docket/Case #:	2:23-cv-00663
Employing firm when activity occurred which led to the action:	Edger Solutions, LLC; Edger Solutions Management, LLC
Allegations:	Securities and Exchange Commission (the "Commission"), brings this civil law enforcement action against Defendants Phoenix Outsourced Development, LLC ("Phoenix"), Edger Solutions Management, LLC ("Edger Management"), Michael P. McLaughlin ("Michael McLaughlin"), Derek A. McLaughlin ("Derek McLaughlin"), Louis Peter Goff ("Goff"), Brian Hubbard ("Hubbard"), Eric J. Fairbourn ("Fairbourn"), and Nicholas F. Deluca ("Deluca") (collectively, "Defendants"), and hereby alleges as follows: This matter involves a fraudulent securities offering run by six individuals, Michael McLaughlin, Derek McLaughlin, Goff, Hubbard, Fairbourn, and Deluca through two entities associated and controlled by them, Phoenix and Edger Management. From approximately June 2019 through April 2020, the Defendants raised more than \$2.1 million from at least 49 investors in



connection with a fraudulent offering of subscription agreements in two pooled investment funds. The Defendants falsely told investors that their investments in two funds, POD Solutions, LLC ("PODS") and Edger Solutions, LLC ("Edger,") would generate guaranteed profits from a high-yield foreign currency ("Forex") trading program. The Defendants made numerous material misrepresentations to investors in each fund concerning the existence and structure of the fees charged to each fund, the method by which profits and losses were calculated in the funds, and the present and past performance of each fund. Defendants engaged in a scheme to deceive investors and furthered this scheme by fabricating monthly account statements to show false and inflated values in investor accounts. The McLaughlins also misappropriated investor funds by paying themselves management fees for which they were not entitled. Most notably, the Defendants failed to disclose to investors that the individual who would purportedly execute the Forex trading program was a convicted felon and a securities fraud recidivist. As a result of the foregoing conduct, Defendants violated the antifraud provisions of the federal securities laws.

Current Status: Pending

Limitations or Restrictions in Effect During Appeal: n/a

End of Report



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