

**STATE OF VERMONT
DEPARTMENT OF FINANCIAL REGULATION**

IN RE: Alicia Maria Goodman a/k/a Lisa)	
Goodman; David Charles)	DOCKET NO. 13-029-S
Goodman; Mountain Group)	
Financial, LLC)	
)	
)	

ORDER TO CEASE AND DESIST

Based upon the Ex Parte Motion for a Cease and Desist Order filed by the Department of Financial Regulation (the “Department”) on September 26, 2013, the Commissioner makes the following Findings of Fact and Conclusions of Law and issues the following Order:

FINDINGS OF FACT

1. Respondents Lisa Goodman and David Goodman are Vermont residents. They are members of Respondent Mountain Group Financial, LLC, a Vermont limited liability company with a principal place of business at 825 Swinginton Hill Rd, Leicester, VT 05733 and a business address at P.O. Box 100, Brandon, VT 05733.
2. Respondents operate the website <http://mountaingroupfinancial.com/>. Their website states that "We're not the bank. We're not the local brick and mortar investment company. We are a more personalized service. . . . Financial Solution Specialists Lisa and David Goodman are back in Vermont and eager to help you with your financial investments."
3. Respondents' website further claims that "We are licensed in Ohio and Vermont." The website does not specify which licenses Respondents hold.

4. In fact, Respondents are licensed insurance producers but are not and have never been registered as investment advisors or in any other capacity with the Department's Securities Division ("Securities Division").
5. An ongoing investigation by the Securities Division has revealed that Respondents have engaged in unregistered activity as investment advisors by advising a client to liquidate securities in order to purchase an annuity.

CONCLUSIONS OF LAW

1. Pursuant to the provisions of 9 V.S.A. § 5604, the Commissioner is authorized to issue a cease and desist order when the Commissioner determines that a person has engaged, is engaging, or is about engage in an act, practice, or course of business constituting a violation of the Vermont Uniform Securities Act.
2. Respondents are in violation of 9 V.S.A. § 5403, which provides that it is unlawful for a person to transact business in this state as an investment adviser unless the person is registered with the Securities Division as an investment advisor or is exempt from registration.
3. Pursuant to the authority contained in Section 13 of Department Regulation 82-1 (Revised), where the Commissioner is authorized by law to issue a cease and desist order, she may do so without written or oral notice to the Respondent.

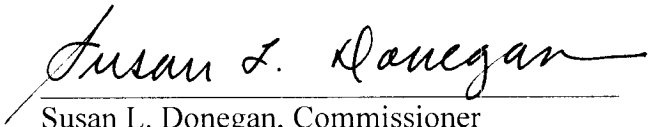
ORDER

PURSUANT TO 9 V.S.A. § 5604 AND SECTION 13 OF DEPARTMENT
REGULATION 82-1 (REVISED), IT IS HEREBY ORDERED THAT:

Respondents Alicia Maria Goodman a/k/a Lisa Goodman, David Charles Goodman, and Mountain Group Financial, LLC are ordered to Cease and Desist from transacting business in

this state as unregistered investment advisers and operating the website,
<http://mountaingroupfinancial.com/>, in violation of 9 V.S.A. § 5403.

Entered at Montpelier, Vermont this 27th day of September, 2013.



Susan L. Donegan, Commissioner
Vermont Department of Financial Regulation