



JOHN R. JANTZEN
Before the
SECURITIES AND EXCHANGE COMMISSION
Washington, D.C. 20549

Administrative Proceedings Rulings
Initial Decision Release No. 472, Nov. 6, 2012
And Commission Finality Notice Release No.68396, Dec. 10, 2012

3-14880

In the Matter of

JOHN R. JANTZEN

Request for modification/relief in
Associational Bar

BACKGROUND

On November 6, 2012, Cameron Elliot, Administrative Law Judge issued an initial decision stating John Jantzen is barred from associating with a broker, dealer, investment adviser, municipal securities dealer, transfer agent or NRSRO for five years. This order became final approximately 30 days later. This decision did not specify an exact date when the bar was to take effect, nor did I receive any subsequent notices of exact dates for this Bar.

My "affiliation" was terminated on March 7, 2012 as a direct result of action initiated by the SEC, in USDC/WD-Texas No. 1:10-cv-00740 final ruling on February 29, 2012. Based on this I did not see any need to request a petition for review of the initial decision because the action would result in immediate termination of all affiliations and prevent new affiliations. Based on this it was my understanding that the Bar would start March 7, 2012 and therefore be satisfied as of March 8, 2017. My FINRA records, (see partial record below), shows I have not had any affiliations in conflict with the November 6, 2012 Decision since March 7, 2012 and therefore believe I have properly satisfied the five year bar effective March 8, 2017. To extend the Bar to December 10, 2017, would be a 9 month excess punishment beyond the spirit of intent in the November 6, 2012 decision.

EXHIBIT 1 Finra Record (Partial) AS OF July 12, 2017

Disclosures

5/15/2012 REGULATORY FINAL

Initiated By UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Allegations

SEC ADMIN RELEASE 34-66991, MAY 15, 2012: THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") DEEMED IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE PROCEEDINGS BE INSTITUTED PURSUANT TO SECTION 15(B) OF THE SECURITIES EXCHANGE ACT OF 1934 ("EXCHANGE ACT") AGAINST JOHN JANTZEN ("RESPONDENT" OR "JANTZEN"). THE COMMISSION FOUND THAT ON MARCH 29, 2012, A FINAL JUDGMENT WAS ENTERED AGAINST RESPONDENT, PERMANENTLY ENJOINING HIM FROM FUTURE VIOLATIONS OF SECTIONS 10(B) AND 14(E) OF THE EXCHANGE ACT AND RULES 10B-5 AND 14E-3 THEREUNDER, IN THE CIVIL ACTION NUMBER 1:10-CV-740.

Resolution Order
Sanctions Bar

Registration Capacities Affected

ASSOCIATING WITH A BROKER, DEALER, INVESTMENT ADVISER, MUNICIPAL SECURITIES DEALER, TRANSFER AGENT, OR NRSRO

Duration

FIVE YEARS

Start Date

12/10/2012

End Date

12/9/2017

Arbitration Details

3/7/2012

EMPLOYMENT SEPARATION AFTER ALLEGATIONS

Firm Name

PFS INVESTMENTS INC PFS INVESTMENTS INC. (CRD# 10111)1991 - 2012 (21 years)

Termination Type

Permitted to Resign

Allegations

MR. JANTZEN WAS PERMITTED TO RESIGN AFTER JUDGMENT WAS ENTERED AGAINST HIM FOR VIOLATING SECTIONS 10B AND 14E OF THE EXCHANGE ACT

Arbitration Details

10/5/2010 CIVIL FINAL

Initiated By

UNITED STATES SECURITIES AND EXCHANGE COMMISSION

Allegations

SEC LITIGATION RELEASE 21685, OCTOBER 6, 2010: ON OCTOBER 5, 2010, THE SECURITIES AND EXCHANGE COMMISSION ("COMMISSION") CHARGED JOHN JANTZEN, A LICENSED BROKER EMPLOYED BY AN SEC-REGISTERED BROKER-DEALER, WITH INSIDER TRADING AROUND THE PUBLIC ANNOUNCEMENT OF A PERSONAL COMPUTER COMPANY'S TENDER OFFER FOR A COMPUTER SYSTEMS COMPANY IN SEPTEMBER 2009 IN THE UNITED STATES DISTRICT COURT FOR THE WESTERN DISTRICT OF TEXAS. THE COMMISSION ALLEGED THAT JANTZEN VIOLATED SECTIONS 10(B) AND 14(E) OF THE SECURITIES EXCHANGE ACT OF 1934 AND RULES 10B-5 AND 14E-3 THEREUNDER. THE COMMISSION ALLEGED THAT JANTZEN'S WIFE LEARNED ABOUT THE DEAL DURING THE COURSE OF HER DUTIES FOR THE PERSONAL COMPUTER COMPANY AND WAS UNDER EXPLICIT, WRITTEN INSTRUCTIONS NOT TO TRADE. NEVERTHELESS, THE COMMISSION ALLEGED, ON THE LAST TRADING DAY BEFORE THE DEAL ANNOUNCEMENT, JANTZEN'S WIFE MADE A HIGHLY UNUSUAL CASH TRANSFER TO A BROKERAGE ACCOUNT HELD JOINTLY BY BOTH HER AND JANTZEN. THE COMMISSION FURTHER ALLEGED THAT WITHIN MINUTES OF THE CASH TRANSFER, JANTZEN STARTED BUYING CALL OPTIONS AND COMMON STOCK OF THE COMPUTER SYSTEMS COMPANY IN THE JOINT ACCOUNT-IN TOTAL, PURCHASING 500 SHARES OF COMMON STOCK AND 24 CALL OPTION CONTRACTS. THE COMMISSION ALLEGED THAT THE PUBLIC ANNOUNCEMENT OF THE DEAL ON SEPTEMBER 21, 2009 RESULTED IN A SUBSTANTIAL INCREASE IN THE PRICE OF COMPUTER SYSTEMS COMPANY SHARES. IMMEDIATELY FOLLOWING THE ANNOUNCEMENT, THE JANTZENS LIQUIDATED THEIR ENTIRE POSITION IN COMPUTER SYSTEMS COMPANY STOCK AND CALL OPTIONS. THE COMMISSION ALLEGED THAT, AS A RESULT OF THEIR ILLEGAL TRADING IN COMPUTER SYSTEMS COMPANY SECURITIES, THE JANTZENS REALIZED NET TRADING PROFITS TOTALING \$26,813.58.

Resolution

Judgment Rendered

Sanctions

Injunction

Sanctions

DISGORGEMENT OF ILL-GOTTEN GAINS, PREJUDGMENT INTEREST THEREON, AND A CIVIL PENALTY, IF ANY, SHALL BE DETERMINED BY THE COURT UPON MOTION OF THE COMMISSION.

Broker Comment

N/A

Arbitration Details

Examinations

State Securities Law Exam

Series 65 - Uniform Investment Adviser Law Examination

Jun 8, 2011

Series 63 - Uniform Securities Agent State Law Examination

Mar 14, 1991

General Industry/Products Exam

Series 6 - Investment Company Products/Variable Contracts Representative Examination

Mar 14, 1991

Principal/Supervisory Exam

Series 26 - Investment Company Products/Variable Contracts Principal Examination

Dec 9, 1993

REQUEST

I am petitioning the Commission for relief/modification of the Associational Bar, as finalized by the Commission in Release No.68396, Dec. 10, 2012 and as specified in the referenced FINRA record, as follows:

The bar remains at five years consistent with Release No 68396, but the **Start Date** is set at March 7, 2012 and which would have an **End Date** of March 8, 2012. With approval of the attached Order For Modification, the bar would be removed.

I have satisfied all other items in this matter in a prompt manner.

I believe this request is consistent with the Rules of Practice as set forth by the Securities and Exchange Commission.



JOHN R. YANTZEN Submitted Pro Se

Address of Service:

5114 Balcones Woods Dr Ste 307-151

Austin, TX 78759

EMAIL: [REDACTED]@yahoo.com

CERTIFICATION OF SERVICE

I certify that true copies of this document were provided the following parties by the method indicated.

VIA US MAIL The original and three copies
Office of The Secretary
Securities and Exchange Commission
100 F St. N. E. Mail Stop 1090
Washington DC 20549

VIA EMAIL
Office of Administrative Law Judge
Honorable Cameron Elliot
Securities and Exchange Commission
100 F St. N. E. Mail Stop 1090
Washington DC 20549
Email: alj@sec.gov



JOHN JANTZEN

5114 Balcones Woods Dr Ste 307-151
Austin, TX 78759
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Washington, D.C. 20549

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NOTICE OF DECISION GRANTING RELIEF OF SPECIFIED DATES FOR BAR

The Commission has chosen to review on its own initiative the Associational Bar of John Jantzen as requested in his submission for modification/relief.

Accordingly, notice is hereby given that the Final Decision dated Dec. 10, 2012 remains unchanged at a five year bar, but acknowledges that the Start Date for that bar is March 7, 2012 and therefore as of the date of this order the bar has been satisfied and is removed.

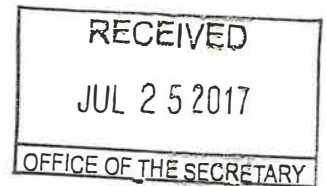
For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Brent Fields

Secretary

July 18, 2017

Securities and Exchange Commission
Brent Fields Secretary
100 F St. N. E. Mail Stop 1090
Washington DC 20549



3-14880

Dear Secretary;

Enclose is my request for modification/relief, to be reviewed by the Commission along with a draft order for their consideration. I believe all items are consistent with the Rules of Practice for the Securities and Exchange Commission. Thank you for your consideration.

Sincerely,

A handwritten signature in cursive script that reads "John R. Jantzen".

JOHN R. JANTZEN Submitted Pro Se
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