

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
THE FIRST NATIONAL CENTER  
120 N. ROBINSON, SUITE 860  
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Marc W. Evans (CRD 859585),

Respondent.

ODS File No. 13-024

**AGREEMENT**

**THIS AGREEMENT**, made pursuant to 660:2-5-3 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities ("Rules"), Okla. Admin. Code §§ 660:1-1-1 through 660:25-7-1, is entered into between Marc W. Evans ("Evans") and the Administrator ("Administrator") of the Oklahoma Department of Securities ("Department") (collectively, the "Parties") as of the Effective Date set forth below.

Pursuant to Section 1-602(A) of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011), and 660:2-7-3 of the Rules, the Department conducted an investigation regarding certain activities and transactions in which Evans was involved.

Based upon the Department's investigation and in order to expeditiously resolve this matter, Evans voluntarily enters into this Agreement. In addition, Evans voluntarily waives his right to a hearing and any right to appeal as provided by the Act, the Rules, and the Oklahoma Administrative Procedures Act.

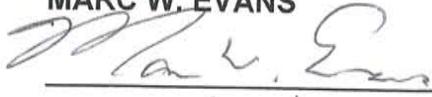
The undersigned Parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Evans and the subject matter of this action. Evans is currently, and at all times material hereto was, registered under the Act as a broker-dealer agent and an investment adviser representative.
2. **Consent Order.** The Administrator will issue a consent order relating to Evans in the form attached hereto as "Attachment A" ("Consent Order").
3. **Suspension.** Evans' broker-dealer agent and investment adviser representative registrations under the Act will be suspended from April 15 to July 15, 2013.
4. **Penalty.** Evans will pay, within one month of the Effective Date, to the Department a civil penalty in the amount of Eighty Thousand Dollars (\$80,000).

5. **Examination.** Evans will take, and pass, the Uniform Securities Agent State Law Exam, known as the "Series 63", administered by the Financial Industry Regulatory Authority within six months of the Effective Date.
6. **Public Record.** Evans acknowledges and understands that this Agreement and the Consent Order are public records that will be available for public examination pursuant to Section 1-607 of the Act.
7. **No Coercion.** Evans enters into this Agreement voluntarily and without any duress, undue influence, or coercion by the Administrator, any employee of the Department, or any member of the Oklahoma Securities Commission.
8. **Consideration.** In consideration for this Agreement, the Administrator shall not take further action against Evans in connection with the findings of fact and conclusions of law contained in the Consent Order, except as provided in Paragraph Nos. 9 and 11 below.
9. **Failure to Comply.** Evans' failure to comply with any part of this Agreement will result in the immediate revocation of all of Evans' registrations under the Act and/or a bar from any future registrations under the Act. Evans waives his right to a hearing and/or any appeal in connection with any order based on Evans' failure to comply with any part of this Agreement.
10. **Entire Agreement.** This writing constitutes the entire agreement of the Parties with respect to the subject matter hereof and supersedes any and all prior and contemporaneous agreements, representations and understandings of the Parties. No supplement, modification or amendment to this Agreement shall be binding unless executed in writing by each of the Parties hereto.
11. **Limitation on Agreement.** Nothing in this Agreement shall prohibit the Administrator from furnishing information to any other properly constituted agency or authority. In the event any other agency or authority commences an action in connection with information obtained by the Administrator against Evans, the Administrator may assist in such action as authorized by law.
12. **Applicability.** This Agreement applies only to Evans in connection with the findings of fact and conclusions of law contained in the Consent Order and to no others. It is further agreed that the execution of this Agreement does not mean that the Administrator has passed in any way upon the merits or qualifications of, or recommended or given approval to, the transactions or activities to which it relates or any future securities transactions.
13. **Effective Date.** This Agreement shall be effective as of the date on which it is signed by the Administrator as set forth below his signature hereto.

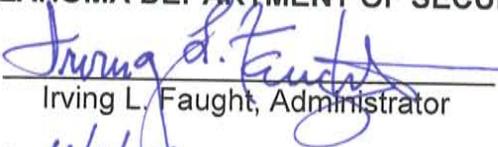
IN WITNESS WHEREOF, the Parties have executed this Agreement as of the date and year set forth below their signatures hereto.

**MARC W. EVANS**

  
\_\_\_\_\_

Date: 3/27/13

**OKLAHOMA DEPARTMENT OF SECURITIES**

By:   
\_\_\_\_\_

Irving L. Faught, Administrator

Date: 4/1/13

**STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
THE FIRST NATIONAL CENTER  
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OKLAHOMA CITY, OKLAHOMA 73102**

In the Matter of:

Marc W. Evans (CRD 859585),

Respondent.

ODS File No. 13-024

**CONSENT ORDER**

Pursuant to Section 1-602(A) of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011), and 660:2-7-3 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities, Okla. Admin. Code §§ 660:1-1-1 through 660:25-7-1 ("Rules"), the Oklahoma Department of Securities ("Department") conducted an investigation regarding certain activities and transactions in which Marc W. Evans ("Evans") was involved.

In order to resolve this matter expeditiously, Evans and the Administrator of the Department ("Administrator") (collectively, the "Parties") voluntarily executed the Agreement attached hereto as "Exhibit A" and incorporated herein by reference ("Agreement").

Wherefore, the Parties stipulate and agree to the following findings of fact and conclusions of law:

1. Evans, at all times relevant hereto, has been registered under the Act as a broker-dealer agent and investment adviser representative.
2. Through the execution of the Agreement, Evans consents to the entry of this Consent Order.
3. Evans intentionally and purposefully failed to report his membership on the board of directors of Global Safety Labs, Inc. ("GSL") to his firm, in violation of Financial Industry Regulatory Authority ("FINRA") Rule 3270, and on his FINRA Uniform Application for Securities Industry Registration or Transfer Form ("Form U-4"), in violation of Section 1-406 of the Act.
4. Evans intentionally and purposefully failed to provide notice to, and receive permission from, his firm for his participation in, and receipt of compensation in the amount of Seventy-Nine Thousand Five Hundred Dollars (\$79,500) for, private GSL-issued securities transactions, in violation of National Association of Securities Dealers Rule 3040.

5. As a result of Evans' actions and inactions as described in Item Nos. 3 and 4 above, Evans did not observe high standards of commercial honor and just and equitable principles of trade as required by 660:11-5-42(b) of the Rules.

6. The Administrator is authorized by law to issue this Consent Order pursuant to Section 1-411 of the Act.

7. It is in the public interest for the Administrator to issue this Consent Order.

**NOW THEREFORE, IT IS HEREBY ORDERED**, pursuant to Section 1-411 of the Act, 660:2-5-3 of the Rules and Paragraph No. 2 of the Agreement, that Evans' broker-dealer agent and investment adviser representative registrations under the Act be suspended from April 15 to July 15, 2013.

**WITNESS** my Hand and the Official Seal of the Oklahoma Department of Securities this \_\_\_ day of April, 2013.

(SEAL)

\_\_\_\_\_  
IRVING L. FAUGHT, ADMINISTRATOR OF THE  
OKLAHOMA DEPARTMENT OF SECURITIES

CERTIFICATE OF MAILING

The undersigned hereby certifies that on the \_\_\_\_ day of April, 2013 a true and correct copy of the above and foregoing *Consent Order* was mailed by U.S. Mail, with postage prepaid thereon, addressed to:

Marc W. Evans  
c/o Tom Gruber, Esq.  
GableGotwals  
One Leadership Square, 15<sup>th</sup> Floor  
211 North Robinson  
Oklahoma City, OK 73102

\_\_\_\_\_  
Brenda London, Paralegal

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Marc W. Evans (CRD 859585),

Respondent.

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In order to resolve this matter expeditiously, Evans and the Administrator of the Department ("Administrator") (collectively, the "Parties") voluntarily executed the Agreement attached hereto as "Exhibit A" and incorporated herein by reference ("Agreement").

Wherefore, the Parties stipulate and agree to the following findings of fact and conclusions of law:

1. Evans, at all times relevant hereto, has been registered under the Act as a broker-dealer agent and investment adviser representative.
2. Through the execution of the Agreement, Evans consents to the entry of this Consent Order.
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**WITNESS** my Hand and the Official Seal of the Oklahoma Department of Securities this 1st day of April, 2013.

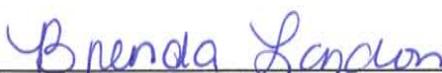
(SEAL)

  
IRVING L. FAUGHT, ADMINISTRATOR OF THE  
OKLAHOMA DEPARTMENT OF SECURITIES

CERTIFICATE OF MAILING

The undersigned hereby certifies that on the 2nd day of April, 2013 a true and correct copy of the above and foregoing *Consent Order* was mailed by U.S. Mail, with postage prepaid thereon, addressed to:

Marc W. Evans  
c/o Tom Gruber, Esq.  
GableGotwals  
One Leadership Square, 15<sup>th</sup> Floor  
211 North Robinson  
Oklahoma City, OK 73102

  
\_\_\_\_\_  
Brenda London, Paralegal

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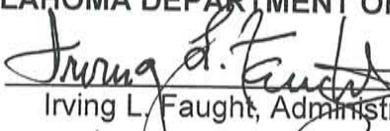
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MARC W. EVANS

  
\_\_\_\_\_

Date: 3/27/13

OKLAHOMA DEPARTMENT OF SECURITIES

By:   
\_\_\_\_\_

Irving L. Faught, Administrator

Date: 4/1/13