

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



In the Matter of:

Rodney Larry Watkins, Jr. (CRD #3091936),

Respondent.

ODS File No. 12-058

ORDER

Pursuant to Section 1-602 of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011), and 660:11-5-43 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities ("Rules") (effective July 1, 2007), Okla. Admin. Code §§ 660:1-1-1 through 660:25-7-1, the Oklahoma Department of Securities (Department) conducted an investigation of certain activities of Rodney Larry Watkins, Jr. (Watkins) in connection with the offer and/or sale of securities in and/or from Oklahoma. Based thereon, an *Enforcement Division Recommendation* (Recommendation) was filed with the Administrator on March 29, 2012. The Recommendation is incorporated herein by reference. *Respondent's Response to the Enforcement Division Recommendation* was filed on May 15, 2012.

In order to resolve this matter, Respondent voluntarily entered into the Agreement attached hereto as "Exhibit A" and incorporated herein by reference ("Agreement").

This Order is issued pursuant to Section 1-411 of the Act, 660:2-5-3 of the Rules, and Item 2 of the Agreement. For purposes of this Order, the Administrator adopts the following findings and/or conclusions: (1) through his execution of the Agreement, Respondent consented to the entry of this Order; (2) the issuance of this Order is in the public interest and for the protection of investors and is consistent with the purposes intended by the Act; and (3) the Administrator is authorized by law to issue this Order.

NOW THEREFORE IT IS HEREBY ORDERED that the Agreement is approved, effective and binding on all parties to such Agreement.

IT IS FURTHER ORDERED that Respondent shall not offer and/or sell any security as defined by Section 1-102 of the Act in and/or from the state of Oklahoma for a period of nine months. Such period shall retroactively begin on November 25, 2011, and end on August 26, 2012. This bar would apply to the transaction of business on or

before August 26, 2012, in and/or from the state as a broker-dealer, broker-dealer agent, issuer agent, investment adviser, and/or investment adviser representative, as such terms are defined in Section 1-102 of the Act.

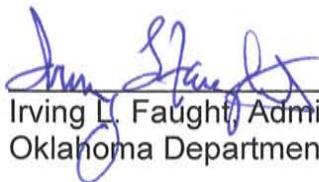
IT IS FURTHER ORDERED that Respondent shall pay a monetary penalty in the amount of \$2,500 to the Department, by cashier's check or money order, that shall be due and payable prior to or contemporaneously with his registration under the Act as a broker-dealer, broker-dealer agent, issuer agent, investment adviser and/or investment adviser representative.

IT IS FURTHER ORDERED that, for a period of three years from the date hereof, any registration by Respondent under the Act, or a successor act, shall be conditioned on a Department approved heightened supervision plan relating to Respondent presented by his affiliated broker-dealer and/or investment adviser. The heightened supervision plan shall include, but not be limited to, daily, on-site supervision of Respondent.

IT IS FURTHER ORDERED that Respondent shall at all times comply with all provisions of the Act and Rules, and successors of the Act and Rules, in connection with offers and/or sales of securities in and/or from the state of Oklahoma.

Witness my Hand and the Official Seal of the Oklahoma Department of Securities on this 29th day of August, 2012.

(SEAL)



Irving L. Faught, Administrator of the
Oklahoma Department of Securities

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



In the Matter of:

Rodney Larry Watkins, Jr. (CRD #3091936),

Respondent.

ODS File No. 12-058

AGREEMENT

THIS AGREEMENT is entered into between Rodney Larry Watkins, Jr. ("Respondent") and the Administrator ("Administrator") of the Oklahoma Department of Securities ("Department") as of the Effective Date set forth below.

Pursuant to Section 1-602 of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011), and 660:11-5-43 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities ("Rules") (effective July 1, 2007), Okla. Admin. Code §§ 660:1-1-1 through 660:25-7-1, the Oklahoma Department of Securities (Department) conducted an investigation of certain activities of Rodney Larry Watkins, Jr. (Watkins) in connection with the offer and/or sale of securities in and/or from Oklahoma. Based thereon, an *Enforcement Division Recommendation* (Recommendation) was filed with the Administrator on March 29, 2012. *Respondent's Response to Enforcement Division Recommendation* was filed on May 15, 2012.

Respondent desires to settle this matter expeditiously without the adjudication of any issue of law or fact and in a manner consistent with the purposes fairly intended by the policies and provisions of the Act.

Respondent represents that he has not offered or sold a security or transacted business in and/or from the state as a broker-dealer, broker-dealer agent, issuer agent, investment adviser, and/or investment adviser representative, as such terms are defined in Section 1-102 of the Act, since November 25, 2011.

The undersigned parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject matter of this action.
2. **Order.** The Administrator shall issue the order relating to Respondent in the form attached hereto as "Attachment A" (the "Order").

3. **Failure to Comply.** Should Respondent fail to comply with the terms of this Agreement and/or the Order in any material respect or if Respondent has made any false or misleading statements to the Department in connection with this matter, the Department may initiate an action against Respondent as authorized by the Act.

4. **Waiver.** Respondent waives his right to a hearing as provided by the Act, the Rules, and the Oklahoma Administrative Procedures Act, and any right to appeal.

5. **No Coercion.** Respondent 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.

6. **Limitation on the 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 Respondent, the Administrator may assist in such action as authorized by law.

7. **Entire Agreement.** This writing constitutes the entire agreement of the parties with respect to the subject matter hereof and supersedes any and all prior contemporaneous agreements, representations and understanding of the parties. No supplement, modification or amendment to this Agreement shall be binding unless executed in writing by each of the parties hereto.

8. **Effective Date.** This Agreement shall be in effect as of the date on which it is signed by the Administrator as set forth below his signature hereto.

9. **Applicability.** This Agreement applies only to the alleged activities of Respondent as set forth in the Recommendation, and to no others.

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

RODNEY LARRY WATKINS, JR.



Date: 8-22-12

OKLAHOMA DEPARTMENT OF SECURITIES

By: 

Irving L. Faught, Administrator

Date: August 29, 2012

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



In the Matter of:

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Respondent.

ODS File No. 12-058

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Respondent desires to settle this matter expeditiously without the adjudication of any issue of law or fact and in a manner consistent with the purposes fairly intended by the policies and provisions of the Act.

Respondent represents that he has not offered or sold a security or transacted business in and/or from the state as a broker-dealer, broker-dealer agent, issuer agent, investment adviser, and/or investment adviser representative, as such terms are defined in Section 1-102 of the Act, since November 25, 2011.

The undersigned parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject matter of this action.
2. **Order.** The Administrator shall issue the order relating to Respondent in the form attached hereto as "Attachment A" (the "Order").

3. **Failure to Comply.** Should Respondent fail to comply with the terms of this Agreement and/or the Order in any material respect or if Respondent has made any false or misleading statements to the Department in connection with this matter, the Department may initiate an action against Respondent as authorized by the Act.

4. **Waiver.** Respondent waives his right to a hearing as provided by the Act, the Rules, and the Oklahoma Administrative Procedures Act, and any right to appeal.

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RODNEY LARRY WATKINS, JR.



Date: 8-22-12

OKLAHOMA DEPARTMENT OF SECURITIES

By: 

Irving L. Faught, Administrator

Date: August 29, 2012

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Witness my Hand and the Official Seal of the Oklahoma Department of Securities on this _____ day of August, 2012.

(SEAL)

Irving L. Faught, Administrator of the
Oklahoma Department of Securities