

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
FIRST NATIONAL CENTER, SUITE 860  
120 NORTH ROBINSON  
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Jerome A. Alexander,

Respondent.

ODS File 14-058

**AGREEMENT**

**THIS AGREEMENT** is entered into by Jerome A. Alexander (CRD# 2885335) ("Respondent") and the Administrator of the Oklahoma Department of Securities ("Department") (collectively, "Parties"), as of the Effective Date set forth below.

On July 25, 2014, the Administrator of the Department issued an Order to Cease and Desist and Notice of Opportunity for Hearing in this matter. On August 20, 2014, Respondent filed an answer admitting the Findings of Fact in the Order to Cease and Desist and requested a hearing on the issue of what sanctions should be imposed against him.

In lieu of the requested hearing, the Parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject matter of this Agreement.
2. **Final Order.** Respondent consents to the entry of a Final Order in the form attached hereto as Exhibit "A".
3. **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.
4. **Public Record.** Respondent acknowledges and understands that this Agreement is a public record and will be available for public examination, pursuant to Section 1-607 of the Act.
5. **Consideration.** In consideration for this Agreement, the Administrator will not take further action against Respondent on the basis of the Findings of Fact contained in the Order to Cease and Desist, except as provided below in paragraphs 6 and 7.

6. **Failure to Comply.** If Respondent fails to comply with this Agreement or the Final Order, the Administrator may take any action authorized by law including, but not limited to, imposing sanctions authorized by Section 1-411 of the Act.

7. **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 Respondent, the Administrator may assist in such action as authorized by law.

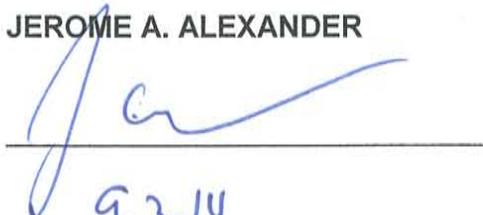
8. **Entire Agreement.** This writing constitutes the entire agreement of the Parties with respect to the subject matter hereof and supersedes any and all prior and contemporaneous agreements, representations and understandings of the Parties. No supplement, modification or amendment to this Agreement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

9. **Applicability.** This Agreement applies only to the activities of Respondent, and to no others. It is further agreed that the execution of this Agreement does not mean that the Administrator has approved, condoned or passed in any way upon the merits or qualifications of, or recommended, the transactions to which it relates or any future securities transactions.

10. **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.

**JEROME A. ALEXANDER**



Date: 9-3-14

OKLAHOMA DEPARTMENT OF SECURITIES

By: Irving L. Faught  
Irving L. Faught, Administrator

Date: 9 Sept 2014

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In the Matter of:

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Respondent.

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**FINAL ORDER**

The Administrator of the Oklahoma Department of Securities ("Department") issues this Final Order against Jerome A. Alexander (CRD# 2885335) ("Respondent") pursuant to Section 1-604 of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011).

On July 25, 2014, the Administrator of the Department issued the attached Order to Cease and Desist that is incorporated herein by reference.

On August 20, 2014, Respondent filed an answer admitting the Findings of Fact in the Order to Cease and Desist and requested a hearing on the issue of what sanctions should be imposed against him.

In an Agreement dated September \_\_\_\_, 2014, between Respondent and the Administrator, Respondent consented to the entry of this Final Order in lieu of the requested hearing.

**IT IS HEREBY ORDERED** that, pursuant to Section 1-604 of the Act, the Order to Cease and Desist issued against Respondent on July 25, 2014, is final by operation of law.

**IT IS FURTHER ORDERED** that Respondent pay a civil penalty in the amount of \$15,000, to the Department within thirty (30) days of the issuance of this Final Order.

Witness my Hand and the Official Seal of the Oklahoma Department of Securities this \_\_\_\_ day of September, 2014.

(SEAL)

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

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CERTIFICATE OF SERVICE

The undersigned hereby certifies that on the \_\_\_\_ day of September, 2014, a true and correct copy of the above and foregoing Final Order was mailed by certified mail, return receipt requested, delivery restricted, with postage prepaid thereon, address to:

Mr. Jerome A. Alexander  
2739 Farm Drive  
El Reno, OK 73036

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Brenda London, Paralegal