

IN THE DISTRICT COURT OF OKLAHOMA COUNTY FILED IN DISTRICT COURT  
STATE OF OKLAHOMA OKLAHOMA COUNTY

MAY 20 2016

RICK WARREN  
COURT CLERK

41 \_\_\_\_\_

Oklahoma Department of Securities )  
ex rel. Irving L. Faught, )  
Administrator, )

Plaintiff, )

v. )

Case No. CJ-2016-1678 (Dixon)

Roland L. Cowperthwaite, )

Defendant. )

**FINAL ORDER, JUDGMENT AND PERMANENT INJUNCTION**

On this 19<sup>th</sup> day of May, 2016, this matter came before the undersigned Judge of the District Court in and for Oklahoma County, State of Oklahoma, for entry by consent of this *Final Order, Judgment and Permanent Injunction* ("Order"). After a review of the pleadings and Defendants' *Stipulation and Consent to Final Order* ("Stipulation and Consent"), this Court finds:

On March 31, 2016, Plaintiff filed a Petition for Permanent Injunction and Other Relief against Defendant Roland L. Cowperthwaite, pursuant to its authority under the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011). On April 19, 2016, Defendant filed an answer to Plaintiff's petition.

Defendant has executed the Stipulation and Consent attached hereto as "Exhibit 1" and made a part hereof. Plaintiff has no objection to the terms of the Stipulation and Consent and agrees to the entry of this Order. Based on the pleadings and execution of this Stipulation and Consent, the Court finds that this Order should be entered and therefore:

IT IS HEREBY ORDERED, ADJUDGED AND DECREED that Defendant is permanently enjoined from transacting business as an investment adviser, as defined under the Act, and providing recommendations or other advice regarding securities to another person for compensation, in or from this state.

IT IS FURTHER ORDERED that, within 30 days from the date of this Order, Defendant shall pay restitution to the following individuals in the amounts specified: Janice R. Guiles, \$3,167; and Arthur Bohn, \$1,425. These amounts represent the advisory fees each individual paid to Defendant.

IT IS FURTHER ORDERED that this Court will retain jurisdiction of this matter for the purpose of enforcement of this Order.

IT IS SO ORDERED.

Dated this 19<sup>th</sup> day of May, 2016.

**BRYAN C. DIXON**

\_\_\_\_\_  
BRYAN C. DIXON, DISTRICT JUDGE

**CERTIFIED COPY**  
AS FILED OF RECORD  
IN DISTRICT COURT

MAY 20 2016

**RICK WARREN** COURT CLERK  
Oklahoma County

*Rick Warren*

APPROVED:



Terra Shamas Bonnell (OBA# 20838)  
Oklahoma Department of Securities  
204 North Robinson Avenue, Suite 400  
Oklahoma City, OK 73102-7001  
(405) 280-7715; (405) 280-7742 (fax)  
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**Attorney for Plaintiff**



D. Michael O'Neil (OBA# 6784)  
CHRISTENSEN LAW GROUP, P.L.L.C.  
The Parkway Building  
3401 N.W. 63<sup>rd</sup> Street, Suite 600  
Oklahoma City, OK 73116  
T: 405.232.2020; F: 405.236.1012  
Michael@christensenlawgroup.com  
**Attorney for Defendant**

**CERTIFICATE OF SERVICE**

The undersigned certifies that on the 20<sup>th</sup> day of May, 2016, a copy of the forgoing Order was sent by First-Class Mail, postage prepaid, to:

D. Michael O'Neil, Esq.  
CHRISTENSEN LAW GROUP, P.L.L.C.  
The Parkway Building  
3401 N.W. 63<sup>rd</sup> Street, Suite 600  
Oklahoma City, OK 73116  
**Attorney for Defendant**

  
\_\_\_\_\_  
Terra Shamas Bonnell

**IN THE DISTRICT COURT OF OKLAHOMA COUNTY  
STATE OF OKLAHOMA**

Oklahoma Department of Securities	)	
<i>ex rel.</i> Irving L. Faught,	)	
Administrator,	)	
	)	
Plaintiff,	)	
	)	
v.	)	Case No. CJ-2016-1678 (Dixon)
	)	
Roland L. Cowperthwaite,	)	
	)	
Defendant.	)	

**STIPULATION AND CONSENT TO FINAL ORDER**

Defendant Roland L. Cowperthwaite stipulates to the following facts:

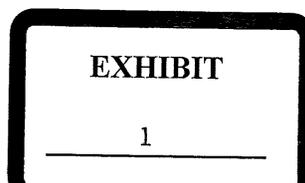
1. Plaintiff is the proper party to bring this action seeking the relief requested in the *Petition for Permanent Injunction and Other Relief* ("Petition") filed in this matter.

2. Defendant is subject to the jurisdiction of this Court, and this Court has subject matter jurisdiction over this action.

Defendant hereby undertakes as follows:

1. Defendant consents to the entry of the *Final Order, Judgment and Permanent Injunction* ("Order"), in the form attached hereto as "Exhibit A."

2. Defendant states that this Stipulation and Consent is entered into voluntarily and that no threat or promise of immunity of any kind has been made by the Administrator of the Oklahoma Department of Securities, any employee of the Oklahoma Department of Securities or any member of the Oklahoma Securities Commission, to induce Defendants to enter into this Stipulation and Consent.



3. Defendant agrees that the provisions of this Stipulation and Consent shall be incorporated by reference into the Order as though set forth in full therein.

4. Defendant waives any right to appeal the Order.

5. Defendant agrees that this Court will retain jurisdiction over this matter for the purpose of enforcement of the Order and this Stipulation and Consent.

6. Defendant understands that Plaintiff will take action against Defendant as authorized by law including, but not limited to, an enforcement action under the Act, for his failure to comply with the terms of the Order and this Stipulation and Consent in any material respect.

7. Defendant agrees to the presentation of this Stipulation and Consent and the Order to the Court to be entered without further notice to Defendants.

IN WITNESS WHEREOF, Defendant has executed this Stipulation and Consent as of the date and year set forth below his signature hereto.

**ROLAND L. COWPERTHWAIT**



Date: \_\_\_\_\_

5-18-2016

APPROVED:



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Terra Shamas Bonnell (OBA# 20838)  
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204 North Robinson Avenue, Suite 400  
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**Attorney for Plaintiff**



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**Attorney for Defendant**

**IN THE DISTRICT COURT OF OKLAHOMA COUNTY  
STATE OF OKLAHOMA**

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Defendant has executed the Stipulation and Consent attached hereto as "Exhibit 1" and made a part hereof. Plaintiff has no objection to the terms of the Stipulation and Consent and agrees to the entry of this Order. Based on the pleadings and execution of this Stipulation and Consent, the Court finds that this Order should be entered and therefore:

**EXHIBIT**

A

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IT IS SO ORDERED.

Dated this \_\_\_\_ day of May, 2016.

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BRYAN C. DIXON, DISTRICT JUDGE