

ORIGINAL

OPEN MEETING ITEM

5/9-10/17



0000179233

COMMISSIONERS
TOM FORESE - Chairman
BOB BURNS
DOUG LITTLE
ANDY TOBIN
BOYD DUNN

TED VOGT
EXECUTIVE DIRECTOR



SECURITIES DIVISION
1300 West Washington, Third Floor
Phoenix, AZ 85007
TELEPHONE: (602) 542-4242
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E-MAIL: securitiesdiv@azcc.gov

ARIZONA CORPORATION COMMISSION

MEMORANDUM

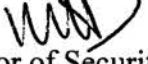
TO: Tom Forese, Chairman
Bob Burns
Doug Little
Andy Tobin
Boyd Dunn

Arizona Corporation Commission

DOCKETED

APR 24 2017

DOCKETED BY

FROM: Mark Dinell 
Assistant Director of Securities

DATE: April 24, 2017

RE: Proposed Order to Cease and Desist, Order for Restitution, Order for Administrative Penalties and Consent to Same by Hawkins Wealth Advisory LLC and Robert Eric Hawkins, Docket No. S-21011A-17-0115.

CC: Ted Vogt, Executive Director

RECEIVED
AZ CORP COMMISSION
DOCKET CONTROL
2017 APR 24 A 11:08

Please find attached a proposed Order to Cease and Desist, Order for Restitution, Order for Administrative Penalties and Consent to Same ("Consent Order") by Hawkins Wealth Advisory LLC ("HWA") and Robert Eric Hawkins ("Hawkins") (collectively, "Respondents"). The Consent Order requires Mr. Hawkins and HWA to permanently cease and desist from violating the Arizona Investment Management Act; to pay restitution in the principal amount of \$13,028.26, plus interest from the date of the Consent Order; and to pay an administrative penalty in the amount of \$6,000.00.

On April 16, 2015, Hawkins formed HWA as a member-managed Arizona limited liability company. Since at least November 9, 2015, Hawkins has held out HWA as a fee-based registered investment adviser and himself as an investment adviser representative. HWA, however, has not been licensed as a registered investment adviser, and Hawkins has not been licensed as an investment adviser representative.

In December 2015 and May 2016, Hawkins advised two investors to invest in a third-party real estate investment company, which the investors did. After each investment, Hawkins sent the investors HWA invoices for advisory fees for \$5,000 and \$2,250 respectively, which the investors

paid. Hawkins also misused a portion of the money the second investor provided to him for a separate investment.

On September 2, 2016, Hawkins told a potential investor that he is an investment adviser, and that he and HWA are registered with FINRA and the United States Securities and Exchange Commission. Those statements were false.

In the Consent Order, Mr. Hawkins and HWA admit for purposes of this proceeding and any other future proceeding to which the Commission may be a party that they: (i) violated A.R.S. § 44-3151 by transacting business in this state as an investment adviser and investment adviser representative while neither licensed nor exempt; and (ii) violated A.R.S. § 44-3241 by engaging in fraudulent practices involving the provision of investment advisory services.

Mr. Hawkins is also the subject of the proposed Order to Cease and Desist, Order for Restitution, Order for Administrative Penalties and Consent to Same in Docket No. S-20987A-16-0351, which concerns his activities in 2009 and 2010 with respect to a clean fuels technology company, Infinity Fuels, Inc.

Originator: James Burgess

1 **BEFORE THE ARIZONA CORPORATION COMMISSION**

2
3 COMMISSIONERS

4 TOM FORESE - Chairman
5 BOB BURNS
6 DOUG LITTLE
7 ANDY TOBIN
8 BOYD DUNN

In the matter of)	
Hawkins Wealth Advisory LLC, an Arizona)	DOCKET NO. S-21011A-17-0115
limited liability company, and)	
Robert Eric Hawkins, a single man,)	DECISION NO. _____
Respondents.)	
)	ORDER TO CEASE AND DESIST, ORDER
)	FOR RESTITUTION, ORDER FOR
)	ADMINISTRATIVE PENALTIES AND
)	CONSENT TO SAME
)	BY: RESPONDENTS HAWKINS WEALTH
)	ADVISORY LLC AND ROBERT ERIC
)	HAWKINS

14 Respondents Hawkins Wealth Advisory LLC and Robert Eric Hawkins ("Respondents") elect
15 to permanently waive any right to a hearing and appeal under Articles 7 and 8 of the Arizona
16 Investment Management Act, A.R.S. § 44-3101 *et seq.* ("Investment Management Act") with respect
17 to this Order To Cease And Desist, Order for Restitution and Order for Administrative Penalties and
18 Consent to Same ("Order"). Respondents admit the jurisdiction of the Arizona Corporation
19 Commission ("Commission"); admit only for purposes of this proceeding and any other proceeding
20 in which the Commission is a party the Findings of Fact and Conclusions of Law contained in this
21 Order; and consent to the entry of this Order by the Commission.

22 **I.**

23 **FINDINGS OF FACT**

24 1. Respondent Hawkins Wealth Advisory LLC ("HWA") is a member-managed Arizona
25 limited liability company that was organized on April 16, 2015.

1 2. HWA has not been registered by the Commission as securities dealer or salesman.
2 HWA also has not been licensed as a registered investment adviser or investment adviser
3 representative with the Commission or the U.S. Securities and Exchange Commission ("S.E.C.").

4 3. Respondent Robert Eric Hawkins ("Hawkins") has been a licensed Arizona
5 insurance producer (AZ License # 913032) since February 20, 2008. Hawkins has been a single,
6 unmarried man since that time.

7 4. Hawkins is the sole member of HWA.

8 5. Hawkins has not been registered by the Commission as securities dealer or salesman.
9 Hawkins also has not been licensed by the Commission as a registered investment adviser or
10 investment adviser representative.

11 6. Since at least November 9, 2015, Respondents have held out HWA as a fee-based
12 firm that offers customized investment portfolios to its clients.

13 7. Respondents have represented that HWA can offer investment advice and
14 opportunities that, according to HWA's website, are "battle tested against varying economic and
15 market trends" and that "strongly mitigate draw-down market risk, decrease taxation on income
16 and one's overall estate, while achieving better than average returns...."

17 8. HWA's website has further represented: "If you require fixed income, ask about
18 our 8.25% passive income fund. If accumulation is your goal, our Private equity Flagship fund
19 which has offered a dependable IRR of 19%+ since inception may be what you're looking for?"

20 9. Based on the Division's investigation, including a review of the records HWA
21 produced in response to a subpoena duces tecum, HWA did not have a "passive income fund" or
22 "a Private equity Flagship fund." The statements on HWA's website that it had such funds to offer
23 investors were false.

24 10. The website stated that as HWA's Chief Executive Officer, Hawkins "directly
25 oversees asset allocation strategies, negotiations, underwriting, client acquisition and portfolio
26 management...." The website asserted that Hawkins has "a deep understanding of the various

1 solutions many aren't privy to, and, the unique needs of High-Net-Worth clients, family offices,
2 closely held family businesses, and top-tier executive level planning."

3 11. With respect to Hawkins' business experience and credentials, the website failed to
4 disclose to potential clients that:

5 a. In 2011, the Internal Revenue Service recorded a lien in Maricopa County against
6 Hawkins for \$18,296 in unpaid taxes from 2002 and 2003, and that lien remains
7 unsatisfied;

8 b. In 2010, the State of Nevada revoked the corporate status of another of Hawkins'
9 business ventures, Infinity Fuels, Inc., of which Hawkins was the president and
10 sole director; and

11 c. Infinity Fuels, Inc.'s investors lost their entire investments.

12 12. On December 9, 2015, Hawkins advised an investor ("LG") to invest with a third-
13 party real estate investment company. Hawkins advised LG as to the relative risk and income-
14 producing potentials of two different funds offered by the real estate investment company.

15 13. On December 15, 2015, Hawkins advised LG, "I've put together a 4 piece portfolio,
16 that I feel will be very impactful in producing great income, lower risk, and more options down the
17 road."

18 14. Following Hawkins' advice, LG subsequently invested \$200,000 with the third-party
19 real estate investment company.

20 15. On January 3, 2016, Hawkins sent LG an HWA invoice for an "advisor fee" of
21 \$5,000.00.

22 16. LG paid the HWA invoice with checks of \$2,500 each on January 5, 2016, and
23 February 1, 2016. LG made her checks payable to HWA, and Hawkins cashed them.

24 17. On April 28, 2016, Hawkins advised a second investor ("KA") to purchase silver coins
25 through him. KA and LG are sisters.

26 18. KA decided to purchase \$8,000 of silver coins.

1 19. Hawkins instructed KA to wire her funds to his HSBC Bank personal checking
2 account.

3 20. On May 6, 2016, KA wired \$8,000 to Hawkins' HSBC Bank personal checking
4 account.

5 21. Prior to receiving KA's \$8,000 wire on May 6, 2016, the balance in Hawkins' HSBC
6 Bank personal checking account was \$0.91 (91 cents).

7 22. After receiving KA's \$8,000 wire on May 6, 2016, that same day Hawkins made an
8 on-line payment to Capital One of \$785.59 from his HSBC Bank personal checking account for his
9 personal credit card.

10 23. All but \$0.91 (91 cents) of Hawkins' \$785.59 credit card payment to Capital One
11 consisted of the funds KA wired to Hawkins for him to purchase silver coins on her behalf.

12 24. Also after receiving KA's \$8,000 wire on May 6, 2016, that same day Hawkins
13 transferred \$6,000 from his HSBC Bank checking account to one of his HSBC Bank personal savings
14 accounts.

15 25. Prior to receiving that \$6,000 transfer, that HSBC Bank personal savings account of
16 Hawkins had a balance of \$0.13 (13 cents).

17 26. All but \$0.91 (91 cents) of the \$6,000 Hawkins transferred to his HSBC Bank personal
18 savings account consisted of the funds KA wired to Hawkins for him to purchase silver coins on her
19 behalf.

20 27. On May 7, 2016, Hawkins transferred \$500 from his first HSBC Bank personal
21 savings account to a second HSBC Bank personal savings account of his.

22 28. Prior to receiving the \$500 transfer from Hawkins' first savings account, Hawkins'
23 second HSBC Bank personal savings account had a balance of \$0.84 (84 cents).

24 29. All but \$0.91 (91 cents) of the \$500 Hawkins transferred to his second HSBC Bank
25 savings account consisted of the funds KA wired to Hawkins for him to purchase silver coins on her
26 behalf.

1 30. On May 7 and 8, 2016, Hawkins made two transfers totaling \$4,000 from his first
2 HSBC Bank savings account back to his HSBC Bank personal checking account.

3 31. On May 10, 2016, Hawkins paid \$2,521.74 from his HSBC Bank personal checking
4 account to purchase silver coins for KA from a third-party seller in Texas. KA subsequently received
5 the coins from the seller.

6 32. Also on May 10, 2016, Hawkins paid personal debts, including a student loan payment
7 and child support, using \$798.48 from his HSBC Bank personal checking account.

8 33. All but \$0.91 (91 cents) of the \$798.48 Hawkins used to pay his personal debts
9 consisted of the funds KA wired to Hawkins to purchase silver coins on her behalf.

10 34. Of the \$8,000 KA wired to Hawkins to purchase silver coins on her behalf, Hawkins
11 only used \$2,521.74 for that purpose. Despite KA's request, Hawkins has not accounted for the other
12 \$5,478.26 of her funds.

13 35. On May 18, 2016, Hawkins solicited and advised KA to invest with the same third-
14 party real estate investment company in which he had advised her sister, LG, to invest. KA
15 subsequently made the investment.

16 36. On June 4, 2016, Hawkins sent KA an HWA invoice for "fee-based financial services"
17 of \$4,250 for her investment with the third-party real estate investment company.

18 37. KA questioned Hawkins about the invoice because he had never discussed with KA
19 that he or HWA would charge her a fee for the investment with the third-party real estate investment
20 company. In response, Hawkins told KA he would give her a discount.

21 38. On June 6, 2016, Hawkins sent KA another HWA invoice for a \$2,550 "investment
22 fee" for her investment with the third-party real estate investment company.

23 39. On June 7, 2016, KA paid HWA's \$2,550 investment fee.

24 40. In August 2016, HWA's website misrepresented Respondents' credentials by stating:
25 "Registered Investment Advisers (RIA & IAR's) such as HWA, are the only ones permitted by
26 regulation to manage portfolios on a discretionary basis and the only ones [ABLE] to operate with

1 your best interest in mind, and at all times throughout the relationship.” (Brackets and capitalization
2 in original).

3 41. That representation was false and misleading because HWA has not been licensed as
4 a registered investment adviser, and Hawkins has not been licensed as an investment adviser
5 representative.

6 42. HWA’s website further represented:

7 Hawkins Wealth Advisory serves professionals, business owners, family
8 offices, and athletes, under the strictest fiduciary standards. We are your
9 financial team for investment accounts, oversight & risk management, and
overall portfolio management....

10 For individuals we work with 401k’s, IRA’s, SEP’s, Super 401k, individual
11 investment accounts, alternative investments, private placements, 403b,
[and] 457 plans....

12 Our team of private money managers, actively manage your portfolio on a
13 purpose-driven basis (we will strategically choose investments which
14 provide the greatest level of protection and performance, based on prevailing
15 market conditions, and outlying factors such as local and global economics,
currency risk, inflation and interest rate risk).” (Grammatical errors in
original).

16 43. On August 25, 2016, an Arizona resident (“TB”) viewed HWA’s website and sent an
17 email to HWA inquiring about the services and investment opportunities it could offer her.

18 44. Later that day, Hawkins responded to TB via e-mail. Hawkins suggested a meeting
19 or phone call to discuss TB’s financial situation, needs and overall goals.

20 45. On September 1, 2016, Hawkins emailed TB and suggested a phone call the following
21 day, to which TB agreed.

22 46. The call occurred on September 2, 2016. During the call, Hawkins told TB he is an
23 investment adviser, and that he and HWA are registered with FINRA and the United States Securities
24 and Exchange Commission (“S.E.C.”). Those statements were false.

25 47. TB asked Hawkins whether if she had a self-directed individual retirement account,
26 he and HWA could advise her how to manage the investments in it. Hawkins answered,

1 "Absolutely." Hawkins later added that TB's choices would include stocks, bonds and no-load
2 mutual funds.

3 48. TB asked about HWA's investment advisory fees. Hawkins responded that HWA's
4 fees vary, but that HWA generally charges a fee of one percent (1%) of the amount invested.

5 49. In response to TB's request, Hawkins offered to provide the names of HWA clients
6 with whom she could speak as references for Hawkins and HWA.

7 50. Despite TB's follow up requests for client references following the call on September
8 2, 2016, Hawkins never provided any such client references.

9 51. Based on the Division's investigation, including a review of the records HWA
10 produced in response to a subpoena duces tecum, HWA had only two paying clients, LG and KA.

11 II.

12 CONCLUSIONS OF LAW

13 1. The Commission has jurisdiction over this matter pursuant to Article XV of the
14 Arizona Constitution and the Investment Management Act.

15 2. Respondents violated A.R.S. § 44-3151 by transacting business in this state as an
16 investment adviser and investment adviser representative while neither licensed nor exempt.

17 3. Respondents violated A.R.S. § 44-3241 by (a) employing a device, scheme, or artifice
18 to defraud, (b) making untrue statements or misleading omissions of material facts, (c)
19 misrepresenting professional qualifications with the intent that the misrepresentation be relied on,
20 and (d) engaging in transactions, practices, or courses of business that operate or would operate as a
21 fraud or deceit. Respondents' conduct includes:

- 22 a. Falsely representing that HWA is a registered investment adviser and Hawkins is
23 an investment adviser representative;
- 24 b. Falsely representing that HWA and Hawkins are registered with FINRA and the
25 S.E.C.;
- 26 c. Charging LG and KA \$7,550 for HWA's investment advisory fees when HWA

1 was not a registered investment adviser;

2 d. Falsely representing HWA could offer investors a "8.25% passive income fund"
3 and a "Private equity Flagship fund which has offered a dependable IRR of 19%+
4 since inception;"

5 e. Misrepresenting to KA how he would use the \$8,000 she wired to him for the
6 purpose of purchasing silver coins for her;

7 f. Misusing portions of the \$8,000 KA wired to Hawkins to purchase silver coins to
8 instead pay Hawkins' personal expenses, and failing to account for \$5,478.26 of
9 KA's \$8,000; and

10 g. Failing to disclose to potential investors:

11 i. In 2011, the Internal Revenue Service recorded a lien in Maricopa County
12 against Hawkins for \$18,296 in unpaid taxes from 2002 and 2003, and that
13 lien remains unsatisfied;

14 ii. In 2010, the State of Nevada revoked the corporate status of another of
15 Hawkins' business ventures, Infinity Fuels, Inc., of which Hawkins was
16 the president and sole director; and

17 iii. Infinity Fuels, Inc.'s investors lost their entire investments.

18 4. Respondents' conduct is grounds for a cease and desist order pursuant to A.R.S. § 44-

19 3292.

20 5. Respondents' conduct is grounds for an order of restitution pursuant to A.R.S. § 44-

21 3292.

22 6. Respondents' conduct is grounds for administrative penalties under A.R.S. § 44-3296.

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III.**ORDER**

THEREFORE, on the basis of the Findings of Fact, Conclusions of Law, and Respondents' consent to the entry of this Order, attached and incorporated by reference, the Commission finds that the following relief is appropriate, in the public interest, and necessary for the protection of investors:

IT IS ORDERED, pursuant to A.R.S. § 44-3292, that Respondents, and any of Respondents' agents, employees, successors and assigns, permanently cease and desist from violating the Investment Management Act.

IT IS FURTHER ORDERED that Respondents comply with the attached Consent to Entry of Order.

IT IS FURTHER ORDERED, pursuant to A.R.S. § 44-3292, that Respondents shall jointly and severally pay restitution to the Commission in the principal amount of \$13,028.26 as a result of the conduct set forth in the Findings of Fact and Conclusions of Law. Payment is due in full on the date of this Order. Payment shall be made to the "State of Arizona" to be placed in an interest-bearing account controlled by the Commission.

IT IS FURTHER ORDERED that the restitution ordered in the preceding paragraph will accrue interest, as of the date of the Order, at the rate of the lesser of (i) ten percent per annum or (ii) at a rate per annum that is equal to one per cent plus the prime rate as published by the board of governors of the federal reserve system in statistical release H. 15 or any publication that may supersede it on the date that the judgment is entered.

The Commission shall disburse the funds on a pro-rata basis to investors shown on the records of the Commission. Any restitution funds that the Commission cannot disburse because an investor refuses to accept such payment, or any restitution funds that cannot be disbursed to an investor because the investor is deceased and the Commission cannot reasonably identify and locate the deceased investor's spouse or natural children surviving at the time of the distribution, shall be disbursed on a pro-rata basis to the remaining investors shown on the records of the Commission.

1 Any funds that the Commission determines it is unable to or cannot feasibly disburse shall be
2 transferred to the general fund of the state of Arizona.

3 IT IS FURTHER ORDERED, pursuant to A.R.S. § 44-3296, that Respondents shall jointly
4 and severally pay an administrative penalty in the amount of \$6,000.00 as a result of the conduct set
5 forth in the Findings of Fact and Conclusions of Law. Payment is due in full on the date of this
6 Order. Payment shall be made to the "State of Arizona." Any amount outstanding shall accrue
7 interest as allowed by law.

8 IT IS FURTHER ORDERED that payments received by the state of Arizona shall first be
9 applied to the restitution obligation. Upon payment in full of the restitution obligation, payments
10 shall be applied to the penalty obligation.

11 For purposes of this Order, a bankruptcy filing by a Respondent shall be an act of default. If
12 Respondents do not comply with this Order, any outstanding balance may be deemed in default and
13 shall be immediately due and payable.

14 IT IS FURTHER ORDERED, that if a Respondent fails to comply with this order, the
15 Commission may bring further legal proceedings against the defaulting Respondent, including
16 application to the superior court for an order of contempt.

17 IT IS FURTHER ORDERED that this Order shall become effective immediately.

18 BY ORDER OF THE ARIZONA CORPORATION COMMISSION
19
20

21 CHAIRMAN FORESE

COMMISSIONER DUNN

22
23 COMMISSIONER TOBIN

COMMISSIONER LITTLE

COMMISSIONER BURNS
24
25
26

1 IN WITNESS WHEREOF, I, TED VOGT, Executive Director
2 of the Arizona Corporation Commission, have hereunto set my
3 hand and caused the official seal of the Commission to be
4 affixed at the Capitol, in the City of Phoenix, this _____ day
5 of _____, 2017.

6 _____
7 TED VOGT
8 EXECUTIVE DIRECTOR

9 _____
10 DISSENT

11 _____
12 DISSENT

13 This document is available in alternative formats by contacting Kacie Cannon, ADA Coordinator,
14 voice phone number (602) 542-3931, e-mail kcannon@azcc.gov.

15 (JDB)
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CONSENT TO ENTRY OF ORDER

1
2 1. Respondents Hawkins Wealth Advisory LLC and Robert Eric Hawkins
3 (“Respondents”) admit the jurisdiction of the Commission over the subject matter of this proceeding.
4 Respondents acknowledge that they have been fully advised of their right to a hearing to present
5 evidence and call witnesses, and Respondents knowingly and voluntarily waive any and all rights to
6 a hearing before the Commission and all other rights otherwise available under Article 7 of the
7 Investment Management Act and Title 14 of the Arizona Administrative Code. Respondents
8 acknowledge that this Order to Cease and Desist, Order for Restitution and Order for Administrative
9 Penalties and Consent to Same (“Order”) constitutes a valid final order of the Commission.

10 2. Respondents knowingly and voluntarily waive any right under Article 8 of the
11 Investment Management Act to judicial review by any court by way of suit, appeal, or extraordinary
12 relief resulting from the entry of this Order.

13 3. Respondents acknowledge and agree that this Order is entered into freely and
14 voluntarily and that no promise was made or coercion used to induce such entry.

15 4. Respondents understand and acknowledge that each Respondent has a right to seek
16 counsel regarding this Order, and that Respondents have had the opportunity to seek counsel prior to
17 signing this Order. Respondents acknowledge and agree that, despite the foregoing, Respondents
18 freely and voluntarily waive any and all right to consult or obtain counsel prior to signing this Order.

19 5. Respondents admit only for purposes of this proceeding and any other proceeding in
20 which the Commission is a party the Findings of Fact and Conclusions of Law contained in this
21 Order. Respondents agree that Respondents shall not contest the validity of the Findings of Fact and
22 Conclusions of Law contained in this Order in any present or future proceeding in which the
23 Commission is a party.

24 6. Respondents further agree that they shall not deny or contest the Findings of Fact and
25 Conclusions of Law contained in this Order in any present or future: (a) bankruptcy proceeding, or
26 (b) non-criminal proceeding in which the Commission is a party (collectively, “proceeding(s)”).

1 They further agree that in any such proceedings, the Findings of Fact and Conclusions of Law
2 contained in this Order may be taken as true and correct and that this Order shall collaterally estop
3 them from re-litigating with the Commission or any other state agency, in any forum, the accuracy
4 of the Findings of Fact and Conclusions of Law contained in this Order. In the event a Respondent
5 pursues bankruptcy protection in the future, each Respondent further agrees that in such bankruptcy
6 proceeding, pursuant to 11 U.S.C. § 523(a)(19), the following circumstances exist:

7 A. The obligations incurred as a result of this Order are a result of the conduct set forth
8 in the Findings of Fact and Conclusions of Law in the Order and are for the violation of Arizona
9 state securities laws, pursuant to 11 U.S.C. § 523(a)(19)(A)(i);

10 B. This Order constitutes a judgment, order, consent order, or decree entered in a state
11 proceeding pursuant to 11 U.S.C. § 523(a)(19)(B)(i), a settlement agreement entered into by
12 Respondents Hawkins Wealth Advisory LLC and Robert Eric Hawkins pursuant to 11 U.S.C. §
13 523(a)(19)(B)(ii), and a court order for damages, fine, penalty, citation, restitution payment,
14 disgorgement payment, attorney fee, cost or other payment owed by Respondents Hawkins Wealth
15 Advisory LLC and Robert Eric Hawkins pursuant to 11 U.S.C. § 523(a)(19)(B)(iii).

16 7. By consenting to the entry of this Order, Respondents agree not to take any action or
17 to make, or permit to be made, any public statement denying, directly or indirectly, any Finding of
18 Fact or Conclusion of Law in this Order or creating the impression that this Order is without factual
19 basis.

20 8. While this Order settles this administrative matter between Respondents and the
21 Commission, Respondents understand that this Order does not preclude the Commission from
22 instituting other administrative or civil proceedings based on violations that are not addressed by this
23 Order.

24 9. Respondents understand that this Order does not preclude the Commission from
25 referring this matter to any governmental agency for administrative, civil, or criminal proceedings
26 that may be related to the matters addressed by this Order.

1 10. Respondents understand that this Order does not preclude any other agency or officer
2 of the state of Arizona or its subdivisions from instituting administrative, civil, or criminal
3 proceedings that may be related to matters addressed by this Order.

4 11. Respondents agree that Respondents will not apply to the state of Arizona for
5 registration as a securities dealer or salesman or for licensure as an investment adviser or investment
6 adviser representative until such time as all restitution and penalties under this Order are paid in full.

7 12. Respondents agree that Respondents will not exercise any control over any entity that
8 offers or sells securities or provides investment advisory services within or from Arizona until such
9 time as all restitution and penalties under this Order are paid in full.

10 13. Respondents agree that Respondents will continue to cooperate with the Securities
11 Division including, but not limited to, by cooperating with the state of Arizona in any related
12 investigation or any other matters arising from the activities described in this Order.

13 14. Respondents consent to the entry of this Order and agree to be fully bound by its terms
14 and conditions.

15 15. Respondents acknowledge and understand that if a Respondent fails to comply with
16 the provisions of the order and this consent, the Commission may bring further legal proceedings
17 against the defaulting Respondent, including application to the superior court for an order of
18 contempt.

19 16. Respondents understand that default shall render Respondents liable to the
20 Commission for its costs of collection, including reasonable attorneys' fees and interest at the
21 maximum legal rate.

22 17. Respondents agree and understand that if Respondents fail to make any payment as
23 required in the Order, any outstanding balance shall be in default and shall be immediately due and
24 payable without notice or demand. Respondents agree and understand that acceptance of any partial
25 or late payment by the Commission is not a waiver of default by the Commission.
26

18. Robert Eric Hawkins represents that he is the sole member and manager of Hawkins Wealth Advisory LLC and has been authorized by Hawkins Wealth Advisory LLC to enter into this Order for and on behalf of it.

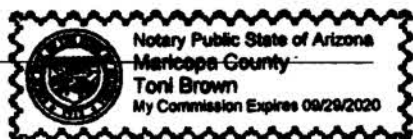

ROBERT ERIC HAWKINS

STATE OF ARIZONA)
) ss
County of Maricopa)

SUBSCRIBED AND SWORN TO BEFORE me this 14TH day of APRIL, 2017.

~~NOTARY PUBLIC~~

My commission expires: _____



HAWKINS WEALTH ADVISORY LLC

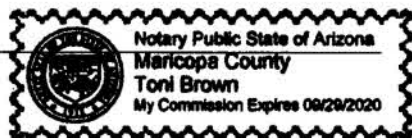
By Patricia
Its Manager

STATE OF ARIZONA)
County of Maricopa) ss

SUBSCRIBED AND SWORN TO BEFORE me this 14TH day of APRIL, 2017.

NOTARY PUBLIC

My commission expires:



1 SERVICE LIST FOR: Hawkins Wealth Advisory LLC, *et al.*

2
3 Hawkins Wealth Advisory LLC
4 C/O Robert Hawkins
5 13141 W. Acapulco Lane
6 Surprise, AZ 85379

7 Robert Hawkins
8 13141 W. Acapulco Lane
9 Surprise, AZ 85379

10 Matthew J. Neubert
11 Director of the Securities Division
12 Arizona Corporation Commission
13 1300 W. Washington, Third Floor
14 Phoenix, AZ 850

1 **BEFORE THE ARIZONA CORPORATION COMMISSION**

2 **COMMISSIONERS**

3 TOM FORESE – Chairman
4 BOB BURNS
5 DOUG LITTLE
6 ANDY TOBIN
7 BOYD DUNN

8 In the matter of:

9 Hawkins Wealth Advisory LLC, an Arizona
10 limited liability company, and

11 Robert Eric Hawkins, a single man,

12 Respondents.

) DOCKET NO: S-21011A-17-0115

) **CERTIFICATION OF SERVICE OF**
) **PROPOSED OPEN MEETING AGENDA**
) **ITEM**

13 On this 24th day of April, 2017, the foregoing document was filed with Docket Control as a
14 Securities Division Memorandum & Proposed Order, and copies of the foregoing were mailed on
15 behalf of the Securities Division to the following who have not consented to email service. On this
16 date or as soon as possible thereafter, the Commission's eDocket program will automatically email
17 a link to the foregoing to the following who have consented to email service.

18 Hawkins Wealth Advisory LLC
19 C/O Robert Hawkins
20 13141 W. Acapulco Lane
21 Surprise, AZ 85379

22 Robert Hawkins
23 13141 W. Acapulco Lane
24 Surprise, AZ 85379

25 By:

26 
Emie R. Bridges, Executive Assistant

Decision No. _____