



STATE OF MISSOURI  
OFFICE OF SECRETARY OF STATE

IN THE MATTER OF )  
)  
5A HOLDINGS, LLC; )  
CAMERON J. HAGER; and )  
ROBERT D. HAWKINS, ) Case No. AP-18-08  
)  
*Respondents.* )

**CONSENT ORDER AS TO RESPONDENT ROBERT D. HAWKINS**

1. The Enforcement Section of the Missouri Securities Division of the Office of Secretary of State (“Enforcement Section”), through Enforcement Counsel Derek Green, has alleged that Robert D. Hawkins (“Hawkins” or Respondent) violated Section 409.5-501, RSMo. (2016)<sup>1</sup>, by materially aiding untrue statements, omissions of material facts or an act, practice, or course of business that would operate as fraud or deceit upon another person in connection with the offer or sale of a security. This violation constitutes grounds to issue an order pursuant to Section 409.6-604.
2. Respondent and the Enforcement Section desire to settle the allegations and the matters raised by the Enforcement Section relating to the Respondent’s alleged violations of Section 409.5-501.

**CONSENT TO JURISDICTION**

3. Respondent and the Enforcement Section stipulate and agree that the Missouri Commissioner of Securities (“Commissioner”) has jurisdiction over Respondent and these matters pursuant to the Missouri Securities Act of 2003, Chapter 409, *et seq.*
4. Respondent and the Enforcement Section stipulate and agree that the Commissioner has authority to enter this Order pursuant to Section 409.6-604(h), which provides:

“The commissioner is authorized to issue administrative consent orders in the settlement of any proceeding in the public interest under this act.”

**WAIVER AND EXCEPTION**

5. Respondent waives Respondent’s right to a hearing with respect to this matter.

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<sup>1</sup> Unless otherwise noted, all statutory references are to the 2016 Revised Statutes of Missouri.

6. Respondent waives any right that Respondent may have to seek judicial review or otherwise challenge or contest the terms and conditions of this Order. Respondent specifically forever releases and holds harmless the Missouri Office of Secretary of State, Secretary of State, Commissioner, and their respective representatives and agents from any and all liability and claims arising out of, pertaining to, or relating to this matter.
7. Respondent stipulates and agrees with the Enforcement Section that, should the facts contained herein prove to be false or incomplete in a material way, the Enforcement Section reserves the right to pursue any and all legal or administrative remedies at its disposal.

#### CONSENT TO COMMISSIONER'S ORDER

8. Respondent and the Enforcement Section stipulate and agree to the issuance of this Consent Order without further proceedings in this matter, agreeing to be fully bound by the terms and conditions specified herein.
9. Respondent agrees not to take any action or to make or permit to be made any public statement creating the impression that this Order is without factual basis. Nothing in this paragraph affects Respondent's (a) testimonial obligations; (b) right to take legal or factual positions in connection with litigation, arbitration, or other legal proceeding in which the Commissioner is not a party; or (c) right to make public statements that are factual.
10. Respondent agrees that Respondent is not the prevailing party in this action since the parties have reached a good faith settlement.
11. Respondent consents to the Commissioner's Findings of Fact, Conclusions of Law, and Order as set forth below for the purpose of resolving this proceeding and any proceeding that may be brought to enforce the terms of this Consent Order.

#### COMMISSIONER'S FINDINGS OF FACT, CONCLUSIONS OF LAW, AND ORDER

##### I. FINDINGS OF FACT

12. Hawkins is a 27-year-old Clinton, Missouri resident with an address of 942 Southeast Highway 7, Clinton, Missouri 64735-9521. Hawkins has never been registered as an investment adviser, investment adviser representative, broker-dealer, or agent in the state of Missouri.
13. 5A Holdings, LLC ("5A") is a limited liability company organized in the state of Missouri on February 8, 2006. Its registered agent is Todd Campbell with an address at 7419 Ward Parkway, Kansas City, Missouri 64114. A check of the records maintained by the Commissioner indicates that at all times relevant, there was no registration, granted exemption, or notice filing indicating status as a "federal covered security" for any securities issued by 5A.

14. On September 26, 2017, the Enforcement Section interviewed a 26 year-old Newport News, Virginia resident (“VR”) who referred, among others, VR’s Uncle to invest in 5A.
15. After VR’s Uncle’s investment of \$10,000 on or around January 5, 2017, VR and his Uncle flew from the Uncle’s home state of Tennessee to Kansas City, Missouri to meet with a purported 5A veterinarian named Robert Harper (“Harper”) on or around April 19, 2017.
16. For approximately 10-12 hours, VR and his Uncle followed Harper to several properties holding cattle purportedly owned by 5A and its investors. Harper would spend only 10-15 minutes at each location looking at the cattle through binoculars from the fence line.
17. Harper was an alias used by Hawkins.
18. On or about November 29, 2017, VR and VR’s Uncle both positively identified Hawkins as Harper.
19. Hawkins was paid \$500 to act as 5A’s veterinarian when Hawkins met with VR and VR’s Uncle.
20. Hawkins is not a licensed veterinarian.
21. On or about December 8, 2017, the Enforcement Section sent a letter to Hawkins asking for, among other things, a narrative explaining why Hawkins acted as 5A’s veterinarian while meeting with VR and VR’s Uncle on or about April 19, 2017.
22. At that time, Hawkins, through counsel, declined to respond to the Enforcement Section’s inquiries or requests.

## II. CONCLUSIONS OF LAW

23. The Commissioner finds Respondent materially aided untrue statements, omissions of material facts or an act, practice, or course of business that would operate as fraud or deceit upon another person in connection with the offer or sale of a security in violation of 409.5-501, and that this conduct constitutes grounds to issue an order pursuant to Section 409.6-604.
24. The Commissioner, after consideration of the stipulations set forth above and on the consent of Respondent and the Enforcement Section, finds and concludes that the Commissioner has jurisdiction over Respondent and this matter and that the following Order is in the public interest, necessary for the protection of public investors and consistent with the purposes intended by Chapter 409.

### III. ORDER

**NOW, THEREFORE**, it is hereby Ordered that:

25. Respondent, his agents, employees and servants, and all other persons participating in the above-described violations with knowledge of this order are permanently enjoined and restrained from engaging in violations of Section 409.5-501.
26. Respondent shall cooperate and provide assistance to the Enforcement Section in the pending administrative proceeding in this matter, including, without limitation, testimony.
27. Respondent is permanently enjoined and restrained from offering or selling any securities in the state of Missouri.
28. Respondent is hereby **BARRED**, effectively immediately, from registration as an investment adviser, investment adviser representative, broker-dealer, or agent in the state of Missouri.
29. Respondent shall pay \$20,000 to the Missouri Secretary of State's Investor Education and Protection Fund. Of this amount, \$10,000 shall be paid in monthly installments of \$100 for a period of 100 months. Respondent's monthly payments shall be due on the first day of each month beginning June 1, 2018 and ending October 1, 2026. The remaining \$10,000 shall be suspended provided Respondent complies with the terms of this Consent Order and does not violate the Missouri Securities Act for a period of 10 years from the date of execution of this Consent Order. This suspended amount shall become due immediately upon the sooner of (1) Respondent's noncompliance with the terms of this Consent Order, or (2) a finding, after notice and opportunity for a hearing, by the Commissioner or a court of competent jurisdiction, that Respondent has violated the Missouri Securities Act. Such immediately due payments shall be in addition to all other penalties then available under the law. The payments shall be made payable to the Missouri Investor Education and Protection Fund and sent to the Missouri Securities Division at 600 West Main Street, Jefferson City, Missouri 65101.
30. Respondent shall pay \$2,500 as the cost of this investigation. This amount shall be suspended provided Respondent complies with the terms of this Consent Order and Respondent does not violate the Missouri Securities Act for a period of 10 years from the date of execution of this Consent Order. This suspended amount shall become due immediately upon the sooner of (1) Respondent's noncompliance with the terms of this Consent Order, or (2) a finding, after notice and opportunity for a hearing, by the Commissioner or a court of competent jurisdiction, that Respondent has violated the Missouri Securities Act. Such immediately due payments shall be in addition to all other penalties then available under the law. The payment shall be made payable to the Missouri Investor Education and Protection Fund and sent to the Missouri Securities Division at 600 West Main Street, Jefferson City, Missouri 65101.

31. Respondent shall pay his own costs and attorneys' fees with respect to this matter.

**SO ORDERED:**

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY,  
MISSOURI THIS 18<sup>th</sup> DAY OF APRIL, 2018.



JOHN R. ASHCROFT  
SECRETARY OF STATE

A handwritten signature in blue ink, appearing to read "David M. Minnick".

DAVID M. MINNICK  
COMMISSIONER OF SECURITIES

Consented to by:

THE ENFORCEMENT SECTION OF THE  
MISSOURI SECURITIES DIVISION

A handwritten signature in blue ink, appearing to read "Derek Green".

Derek Green  
Enforcement Counsel  
Counsel for Petitioner

A handwritten signature in blue ink, appearing to read "Robert Hawkins".

Robert Hawkins  
Respondent

Approved as to Form.

A large, stylized handwritten signature in blue ink, appearing to read "Timothy T. Stewart".

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