

State of Missouri
Office of Secretary of State

Case No. AP-09-18

IN THE MATTER OF:

TRAVIS WINNETT;
SAFE HARBOR FINANCIAL LLC;
AND
ERRON L. WRIGHT, JR.,

Respondents.

Serve Travis Winnett at:
910 Sherry Lea Drive
Neosho, MO 64850

Serve Safe Harbor Financial, LLC at:
702 Wayne Avenue
Neosho, MO 64850

**FINAL ORDER TO CEASE AND DESIST AND ORDER IMPOSING CIVIL
PENALTIES AND AWARDED COSTS AS TO RESPONDENT SAFE HARBOR
FINANCIAL LLC AND RESPONDENT TRAVIS RAY WINNETT**

On July 21, 2009, the Enforcement Section of the Securities Division of the Office of Secretary of State (the "Enforcement Section"), by and through Nathan Soendker, Chief Enforcement Counsel, submitted a Petition for Final Order to Cease and Desist and Order to Show Cause Why Civil Penalties and Costs Should Not Be Imposed (the "Petition"). After reviewing the Petition, the Commissioner issues the following findings of facts, conclusions of law, and Final Order:

PROCEDURAL BACKGROUND

1. On May 6, 2009, the Enforcement Section submitted a Petition for Order to Cease and Desist and Order to Show Cause Why Civil Penalties and Costs Should Not Be Imposed in the above-styled matter.
2. On May 18, 2009, the Commissioner issued an Order to Cease and Desist and Order to Show Cause Why Civil Penalties and Costs Should Not Be Imposed (the "C&D Order"). On that same date, notice and a copy of the C&D Order were sent to all Respondents, by certified U.S. Mail, pursuant to Section 409.6-604(b), RSMo. (Cum. Supp. 2008).
3. All Respondents accepted service of the C&D Order through certified mail.
4. On June 19, 2009, Respondent Erron L. Wright, Jr. ("Wright"), through counsel, filed a Request for Hearing in this matter.
5. Respondent Safe Harbor Financial LLC ("Safe Harbor") and Respondent Travis Ray Winnett ("Winnett") did not request a hearing in this matter, or otherwise contact or communicate with the Commissioner.
6. In the Petition, the Enforcement Section requested a Final Order to Cease and Desist as to Respondent Safe Harbor and Respondent Winnett in this matter.
7. In the Petition, the Enforcement Section requested that the Commissioner issue an order requiring Respondent Safe Harbor and Respondent Winnett to pay, jointly and severally, costs of the investigation in this matter in the amount of seven thousand nine hundred twenty dollars (\$7,920).
8. In the Petition, the Enforcement Section requested that the Commissioner issue an order imposing a civil penalty of ten thousand dollars (\$10,000) against each of Respondent Safe Harbor and Respondent Winnett for multiple violations of Section 409.3-301, RSMo. (Cum. Supp. 2008).
9. In the Petition, the Enforcement Section requested that the Commissioner issue an order imposing a civil penalty of ten thousand dollars (\$10,000) against Respondent Winnett for multiple violations of Section 409.4-402(a), RSMo. (Cum. Supp. 2008).
10. In the Petition, the Enforcement Section requested that the Commissioner issue an order imposing a civil penalty of ten thousand dollars (\$10,000) against Respondent Safe Harbor for multiple violations of Section 409.4-402(d), RSMo. (Cum. Supp. 2008).

11. In the Petition, the Enforcement Section requested that the Commissioner issue an order imposing a civil penalty of ten thousand dollars (\$10,000) against each of Respondent Safe Harbor and Respondent Winnett for multiple violations of Section 409.5-501(2), RSMo. (Cum Supp. 2008).

FINDINGS OF FACT

12. The Commissioner adopts and incorporates the Findings of Facts, paragraphs 1-42, in the C&D Order.

CONCLUSIONS OF LAW

13. The Commissioner adopts and incorporates:
- a. paragraphs 56-61 of the Conclusions of Law in the C&D Order as they pertain to Respondents Safe Harbor and Winnett only;
 - b. paragraphs 62-65 of the Conclusions of Law in the C&D Order as they pertain to Respondent Winnett only;
 - c. paragraphs 66-71 of the Conclusions of Law in the C&D Order; and
 - d. paragraphs 72-74 of the Conclusions of Law in the C&D Order as they pertain to Respondents Safe Harbor and Winnett only.
14. This Order is in the public interest and consistent with the purposes intended by the Missouri Securities Act of 2003.

ORDER

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

- A. The Cease and Desist Order entered in Case Number AP-09-18 on May 18, 2009, is FINAL as to Respondent Safe Harbor and Respondent Winnett.
- B. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Safe Harbor shall pay a civil penalty in the amount of three thousand dollars (\$3,000) to the State of Missouri for multiple violations of Section 409.3-301, RSMo. (Cum. Supp. 2008). This amount shall be made payable to the State of Missouri and paid within thirty (30) days of the date of this Order. The Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent Safe Harbor shall deliver this payment to the Securities Division, 600 W. Main Street, P.O. Box 1276, Jefferson City, Missouri 65102.
- C. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Winnett shall pay a civil penalty in the amount of five thousand dollars (\$5,000) to the State of Missouri for multiple violations of Section 409.3-301, RSMo. (Cum. Supp. 2008). This amount shall be made payable to the State of Missouri and paid within thirty (30) days of the date of this Order. The Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent Winnett shall deliver this payment to the Securities Division, 600 W. Main Street, P.O. Box 1276, Jefferson City, Missouri 65102.
- D. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Winnett shall pay a civil penalty in the amount of one thousand dollars (\$1,000) to the State of Missouri for multiple violations of Section 409.4-402(a), RSMo. (Cum. Supp. 2008). This amount shall be made payable to the State of Missouri and paid within thirty (30) days of the date of this Order. The Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent Winnett shall deliver this payment to the Securities Division, 600 W. Main Street, P.O. Box 1276, Jefferson City, Missouri 65102.
- E. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Safe Harbor shall pay a civil penalty in the amount of two thousand dollars (\$2,000) to the State of Missouri for multiple violations of Section 409.4-402(d), RSMo. (Cum. Supp. 2008). This amount shall be made payable to the State of Missouri and paid within thirty (30) days of the date of this Order. The Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent Safe Harbor shall deliver this payment to the Securities Division, 600 W. Main Street, P.O. Box 1276, Jefferson City, Missouri 65102.
- F. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Safe Harbor shall pay a civil penalty in the amount of four thousand dollars (\$4,000) to the State of Missouri for multiple violations of Section 409.5-501(2), RSMo. (Cum. Supp. 2008). This amount shall be made payable to the State of Missouri and paid within thirty (30) days of the date of this Order. The Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent Safe Harbor shall deliver this payment to the Securities Division, 600 W. Main Street, P.O. Box 1276, Jefferson City, Missouri 65102.
- G. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Winnett shall pay a civil penalty in the amount of six thousand dollars (\$6,000) to the State of Missouri for multiple violations of Section 409.5-501(2), RSMo. (Cum. Supp. 2008). This amount shall be made payable to the State of Missouri and paid within thirty (30) days of the date of this Order.

The Secretary of State shall forward these funds to the state treasury for the benefit of county and township school funds as provided in Article IX, Section 7 of the Constitution of Missouri. Respondent Winnett shall deliver this payment to the Securities Division, 600 W. Main Street, P.O. Box 1276, Jefferson City, Missouri 65102.

- H. Pursuant to Section 409.6-604(e), RSMo. (Cum. Supp. 2008), Respondent Safe Harbor and Respondent Winnett shall pay, within thirty (30) days from the date of this Order, the additional sum of seven thousand nine hundred twenty dollars (\$7,920) as reimbursement for costs of the investigation and administration of this matter. Respondent Safe Harbor and Respondent Winnett shall be jointly and severally liable for this amount. This amount shall be made payable to the Missouri Secretary of State's Investor Education and Protection Fund. Respondent Safe Harbor and Respondent Winnett shall deliver this payment to the Securities Division, 600 West Main Street, P.O. Box 1276, Jefferson City, Missouri 65102.
- I. Pursuant to Section 409.6-604(f), RSMo. (Cum. Supp. 2008), this matter shall be referred to the Missouri Attorney General's Office to collect the penalties and costs described in this Order, as necessary.
- J. Respondents Safe Harbor and Winnett shall pay their own costs and attorneys' fees with respect to this matter.
- K. This Order in no way dismisses or serves as a final resolution or order in this matter as it pertains to Respondent Erron L. Wright, Jr.

SO ORDERED:

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY, MISSOURI THIS 12TH DAY OF AUGUST, 2009.

ROBIN CARNAHAN
SECRETARY OF STATE

(Signed/Sealed)
MATTHEW D. KITZI
COMMISSIONER OF SECURITIES

CERTIFICATE OF SERVICE

I hereby certify that on this 12th day of August, 2009, copies of the foregoing Final Order in the above styled case was **mailed by certified U.S. Mail, postage prepaid, to:**

Travis Winnett
910 Sherry Lea Drive
Neosho, MO 64850

Safe Harbor Financial, LLC
702 Wayne Avenue
Neosho, MO 64850

Johnny K. Richardson
Brydon, Swearngen & England, P.C.
312 East Capital Avenue
P.O. Box 456
Jefferson City, Missouri 65102
ATTORNEY FOR RESPONDENT
ERRON L. WRIGHT, JR.

And hand delivered to:

Nathan Soendker
Chief Enforcement Counsel
Securities Division

John Hale
Specialist