



STATE OF MISSOURI
OFFICE OF SECRETARY OF STATE

IN THE MATTER OF:)
)
J. ANDREW JACKSON & CO. LLC)
CRD# 155044,)
)
and)
)
JOSEPH A. JACKSON)
CRD# 5486412,)
)
)
Respondents.)

Case No. AP-13-17

Serve: Joseph A. Jackson at:)
3834 Flad Avenue)
Saint Louis, Missouri, 63110)
)
J. Andrew Jackson & Co. LLC at:)
8008 Carondelet Avenue, Suite 303)
Clayton, Missouri 63105)

ORDER TO CANCEL REGISTRATIONS OF
J. ANDREW JACKSON & CO. LLC AND JOSEPH A. JACKSON

On October 28, 2013, the Enforcement Section of the Securities Division of the Office of Missouri Secretary of State (“Enforcement Section”), through its Assistant Commissioner Mary S. Hosmer, filed a Petition for Order to Cancel Registrations of J. Andrew Jackson & Co. LLC and Joseph A. Jackson. The Commissioner now issues the following order:

I. FINDINGS OF FACT

1. J. Andrew Jackson & Co. is a Missouri-registered investment adviser with an office address of 8008 Carondelet Avenue, Suite 303, Clayton, Missouri 63105. J. Andrew Jackson & Co. is registered in Missouri through the Central Registration Depository System (“CRD”) with CRD number 155044.

2. Joseph A. Jackson (“Jackson”) is or was the proprietor of, and a Missouri-registered investment adviser representative with, J. Andrew Jackson & Co. Jackson has been registered in Missouri with J. Andrew Jackson & Co. through the CRD since January 12, 2011, with CRD number 5486412. Jackson has a last known address of 3834 Flad Avenue, St. Louis, Missouri 63110.
3. Interactive Brokers LLC (“Interactive Brokers”) is a Missouri-registered discount broker-dealer with an office address of One Pickwick Plaza 2nd Floor, Greenwich, Connecticut 06830. Interactive Brokers is registered in Missouri with CRD number 36418.
4. In July 2012, a thirty-six (36) year-old Fenton, Missouri, resident (“MR”) opened an account with Interactive Brokers. Jackson was the listed broker-of-record on MR’s Interactive Brokers account.
5. Between July 2012 and August 2012, Jackson lost over thirty-eight thousand dollars (\$38,000) in MR’s Interactive Brokers account by purchasing options.
6. Jackson never discussed purchasing options with MR, and MR was not aware what options were.
7. After the purchase of options, Jackson told MR that Jackson had been trying to “hit a home-run” with the purchase of these options.
8. In September 2012, Jackson repaid MR ten thousand dollars (\$10,000) and agreed to pay MR five thousand dollars (\$5,000) every other week until MR’s losses were repaid.
9. Since September 21, 2012, MR has been unable to contact Jackson, has not received any communication from Jackson, and has not received any further payments from Jackson since receiving the initial ten thousand dollars (\$10,000).
10. On June 27, 2013, and July 11, 2013, an investigator with the Enforcement Section of the Securities Division sent letters via regular and certified mail to J. Andrew Jackson & Co.’s address of 8008 Carondelet Avenue, Suite 303, Clayton, Missouri 63105. The letters were returned to the Enforcement Section marked, “Return to Sender...Unable to Forward.”
11. On October 24, 2013, an investigator with the Enforcement Section contacted an employee of the current owner of 8008 Carondelet Avenue, Suite 303, Clayton, Missouri 63105. The employee stated Jackson vacated the property this year prior to the purchase by the current owner.
12. On July 11, 2013, an investigator with the Enforcement Section called the telephone number listed for J. Andrew Jackson & Co. on CRD and left a voicemail for Jackson. Jackson never returned the telephone call, and the telephone number for J. Andrew Jackson & Co. was subsequently disconnected.

13. On July 26, 2013, an investigator with the Enforcement Section sent a letter via certified mail addressed to Jackson and J. Andrew Jackson & Co. at 7105 Canterbury Avenue, St. Louis, Missouri 63143. The letter was returned, marked, "Unclaimed."
14. On September 11, 2013, an investigator with the Enforcement Section sent a letter via certified mail addressed to Jackson and J. Andrew Jackson & Co. at 3834 Flad Avenue, St. Louis, Missouri 63110. The letter was returned, marked, "Forward Time Exp[ired]...Return to Sender."
15. An investigator with the Enforcement Section has sent multiple messages to the e-mail address listed for Jackson on CRD; however, no response has been received from Jackson.
16. On October 24, 2013, an investigator with the Enforcement Section spoke with the only other registered representative of J. Andrew Jackson & Co. This registered representative stated that she worked with Jackson at a previous employer, has not worked with Jackson in several years, and did not know she was registered with J. Andrew Jackson & Co.
17. Upon information and belief, Jackson has other Missouri resident clients and continues to maintain account authority over these accounts at Interactive Brokers.
18. An investigator with the Enforcement Section requested from Interactive Brokers alternative contact information for Jackson and J. Andrew Jackson & Co.; however, Interactive Brokers had no alternative contact information on file.
19. J. Andrew Jackson & Co.'s website, www.jandrewjackson.com, is no longer available on the internet.

II. STATUTORY PROVISIONS

20. Section 409.1-102(15) "Investment adviser" means "a person that, for compensation, engages in the business of advising others, either directly or through publications or writings, as to the value of securities or the advisability of investing in, purchasing, or selling securities or that, for compensation and as a part of a regular business, issues or promulgates analyses or reports concerning securities. The term includes a financial planner or other person that, as an integral component of other financially related services, provides investment advice to others for compensation as part of a business or that holds itself out as providing investment advice to others for compensation. . . ."
21. Section 409.1-102(16) "Investment adviser representative" means "an individual employed by or associated with an investment adviser or federal covered investment adviser and who makes any recommendations or otherwise gives investment advice regarding securities, manages accounts or portfolios of clients, determines which recommendation or advice regarding securities should be given, provides investment advice or holds herself or himself out as providing investment advice, receives compensation to solicit, offer, or negotiate for the sale of or for selling investment advice, or supervises employees who perform any of the foregoing. . . ."

22. Section 409.4-408(e), RSMo. (Cum. Supp. 2012) provides:

“If the commissioner determines that a registrant or applicant for registration is no longer in existence or has ceased to act as a broker-dealer, agent, investment adviser, or investment adviser representative, or is the subject of an adjudication of incapacity or is subject to the control of a committee, conservator, or guardian, or cannot reasonably be located, a rule adopted or order issued under this act may require the registration be canceled or terminated or the application denied. The commissioner may reinstate a canceled or terminated registration, with or without hearing, and may make the registration retroactive.”

23. Section 409.6-601(a), RSMo. (Cum. Supp. 2012), provides that the Missouri Securities Act of 2003 “shall be administered by the commissioner of securities”

III. Conclusions of Law

Investment Adviser Cannot Reasonably Be Located

24. J. Andrew Jackson & Co. is a Missouri-registered investment adviser.

25. The Commissioner cannot reasonable locate J. Andrew Jackson & Co. in that:

- a. mail sent to J. Andrew Jackson & Co.’s office address is returned as unable to forward;
- b. the current tenant of J. Andrew Jackson & Co.’s address indicated that the company vacated the premises before the current tenant moved in;
- c. no one has returned the telephone message left at the number for J. Andrew Jackson & Co.;
- d. the telephone number for J. Andrew Jackson & Co. has been disconnected;
- e. Interactive Brokers has no other address for J. Andrew Jackson & Co.;
- f. J. Andrew Jackson & Co.’s website, www.jandrewjackson.com, is no longer available on the internet;
- g. No other alternative contact information is available;
- h. The only other registered representative of J. Andrew Jackson & Co. did not know she was registered with J. Andrew Jackson & Co. and has not worked Jackson, let alone with J. Andrew Jackson & Co., for several years; and
- i. Jackson himself cannot be located either.

Investment Adviser Representative Cannot Reasonably Be Located

26. Jackson is a Missouri-registered investment adviser representative.

27. The Commissioner cannot reasonable locate Jackson in that:

- a. MR has been unable to contact Jackson, has not received any communication from Jackson, and has not received further payments from Jackson in over a year;
 - b. Jackson never returned a telephone message left for him at J. Andrew Jackson & Co.;
 - c. A letter sent to Jackson and J. Andrew Jackson & Co. at Jackson's last known home address was returned, marked, "Forward Time Exp[ired]...Return to Sender[;]"
 - d. Jackson has failed to reply to multiple messages sent to the his e-mail address;
 - e. Interactive Brokers has no alternative contact information for Jackson;
 - f. All known means of contacting Jackson have been exhausted; and
 - g. The Investment Advisor Jackson with which Jackson is registered cannot be reasonably located.
28. The Order in Section IV is necessary or appropriate in the public interest or for the protection of investors and is consistent with the purposes of the Missouri Securities Act of 2003.

IV. ORDER

NOW THEREFORE, the registration of J. Andrew Jackson & Co. as an investment adviser in Missouri (with CRD number 155044) is hereby **CANCELED** pursuant to Section 409.4-408(e), RSMo. (Cum. Supp. 2012).

IT IS FURTHER ORDERED that the registration of Joseph A. Jackson as an investment adviser representative in Missouri (with CRD number 5486412) is hereby **CANCELED** pursuant to Section 409.4-408(e), RSMo. (Cum. Supp. 2012).

SO ORDERED:

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY, MISSOURI THIS THIRTY-FIRST DAY OF OCTOBER 2013.



JASON KANDER
SECRETARY OF STATE

Andrew M. Hartnett

ANDREW M. HARTNETT
COMMISSIONER OF SECURITIES

CERTIFICATE OF SERVICE

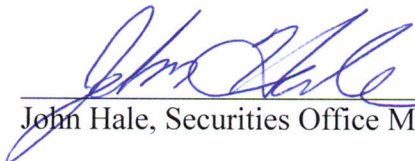
I hereby certify that on this 1st day of November, 2013, a copy of the foregoing Petition for Order to Cancel Registrations of J. Andrew Jackson & Co. LLC and Joseph A. Jackson and Order to Cancel Registrations of J. Andrew Jackson & Co. LLC and Joseph A. Jackson, in the above-styled case was mailed by certified U.S. mail to:

Joseph A. Jackson
3834 Flad Avenue
Saint Louis, Missouri, 63110

and

J. Andrew Jackson & Co. LLC
8008 Carondelet Avenue, Suite 303
Clayton, Missouri 63105

And sent via email to:
JAJSTL@YAHOO.COM



John Hale, Securities Office Manager