

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
THE FIRST NATIONAL CENTER  
120 N. ROBINSON, SUITE 860  
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Keith Presley Dennis,

Respondent.

ODS File 13-057

**FINAL ORDER**

The Administrator of the Oklahoma Department of Securities ("Department") issues this Final Order against Keith Presley Dennis (CRD# 4022971) ("Respondent"), pursuant to Section 1-411 of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011).

**Findings of Fact**

**Procedural**

1. On July 21, 2014, the Enforcement Division of the Department filed, with the Administrator, an Enforcement Division Recommendation ("Recommendation") in support of the issuance of an order barring Respondent from registration under the Act and from association with a broker-dealer or investment adviser registered under the Act.

2. On July 21, 2014, the Administrator issued a Notice of Opportunity for Hearing in accordance with 660:2-9-1 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities (effective August 1, 2013) ("Rules") and Section 1-411 of the Act. In the notice, Respondent was advised of his right to a hearing and his obligation to file an answer to the Recommendation within fifteen (15) days after service of the notice. Respondent was further advised in the notice that failure to file an answer and request for hearing in compliance with 660:2-9-2 of the Rules would result in the issuance of an order barring Respondent from registration under the Act and from association with a broker-dealer or investment adviser registered under the Act.

3. On July 21, 2014, the Administrator also issued a Notice of Service on the Administrator and Affidavit of Compliance in which he attested that a copy of the Notice of Opportunity for Hearing, with the Recommendation attached, and a copy of the Notice of Service on the Administrator and Affidavit of Compliance, were sent to the last

known address of Respondent on July 21, 2014, by certified mail, return receipt requested, delivery restricted, in compliance with Section 1-611 of the Act.

4. On July 25, 2014, Respondent signed the return receipt for the July 21<sup>st</sup> mailing.

5. On July 25, 2014, Respondent informed counsel for the Enforcement Division that he would not be filing an answer to the Recommendation or requesting a hearing on the merits of the Recommendation.

6. Respondent's deadline for filing an answer to the Recommendation and requesting a hearing has expired, and no answer or request for hearing has been filed.

### **Background**

7. At all times material hereto, Respondent has resided in Oklahoma.

8. During the time period November 29, 1999 through June 13, 2007, Respondent was registered under Oklahoma securities laws as an agent of various registered broker-dealers.

9. During the time period July 20, 2007, through April 28, 2009, Respondent was registered under Oklahoma securities laws as an investment adviser representative of a registered investment adviser.

10. On October 8, 2009, the Administrator issued an *Order to Cease and Desist* in which Respondent and a corporation under Respondent's control were ordered to "cease and desist from transacting business in this state as a broker-dealer, agent, investment adviser, and/or investment adviser representative, as those terms are defined in Section 1-102 of the Act, until such time as they become appropriately registered under the Act."

### **Felony Conviction**

11. On April 11, 2014, in the District Court of Muskogee County, Respondent was convicted of a felony: exploitation of an elderly person or disabled adult. Respondent was sentenced to a term of imprisonment of 15 years with execution of sentence suspended, and ordered to pay restitution in the amount of \$293,265.83.

To the extent any of these Findings of Fact are more properly characterized as Conclusions of Law, they should be so considered.

**Conclusions of Law**

1. Respondent has been convicted of a felony.
2. The Administrator is authorized to bar Respondent from registration under the Act and from association with a broker-dealer or investment adviser registered under the Act, pursuant to Section 1-411 of the Act.
3. It is in the public interest for the Administrator to bar Respondent from registration under the Act and from association with a broker-dealer or investment adviser registered under the Act.

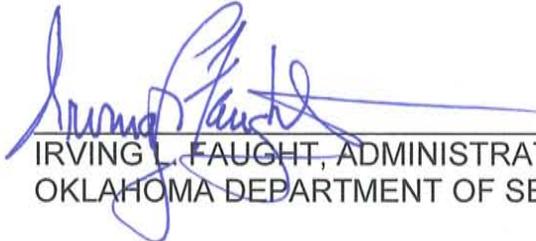
To the extent any of these Conclusions of Law are more properly characterized as Findings of Fact, they should be so considered.

**Order**

**IT IS HEREBY ORDERED** that Respondent is barred from registration under the Act and from association with a broker-dealer or investment adviser registered under the Act.

Witness my Hand and the Official Seal of the Oklahoma Department of Securities this 21st day of August, 2014.

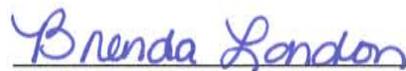
(SEAL)

  
\_\_\_\_\_  
IRVING L. FAUGHT, ADMINISTRATOR OF THE  
OKLAHOMA DEPARTMENT OF SECURITIES

**CERTIFICATE OF SERVICE**

The undersigned hereby certifies that on the 21st day of August, 2014, a true and correct copy of the above and foregoing Final Order was sent by certified mail, return receipt requested, delivery restricted, to:

Mr. Keith P. Dennis  
4606 E. 26<sup>th</sup> St.  
Tulsa, OK 74115

  
\_\_\_\_\_  
Brenda London, Paralegal

U.S. Postal Service  
**CERTIFIED MAIL RECEIPT**  
(Domestic Mail Only; No Insurance Coverage Provided)

7000 0520 0022 7150 4858

FO 13-057 TB

Postage	\$	48
Certified Fee		330
Return Receipt Fee (Endorsement Required)		270
Restricted Delivery Fee (Endorsement Required)		505
<b>Total Postage &amp; Fees</b>	<b>\$</b>	<b>11.53</b>

8/21/14

Postmark  
Here

Keith P. Dennis  
4606 E. 26<sup>th</sup> St.  
Tulsa, OK 74115

by mailer)

for Instructions

OKLAHOMA DEPARTMENT OF SECURITIES  
First National Center, Suite 860  
120 North Robinson  
Oklahoma City, Oklahoma 73102

RECEIVED  
OKLAHOMA DEPARTMENT OF SECURITIES  
2014 SEP 2

CERTIFIED MAIL  
OKLAHOMA CITY



7000 0520 0022 7150 4858

RESTRICTED DELIVERY

Mr. Keith P. Dennis  
4606 E. 26<sup>th</sup> St.  
Tulsa, OK 74115

UNITED STATES POSTAGE  
02 1R  
0002002312 AUG 21 2014  
FITNEY BOWES  
\$11.53<sup>00</sup>  
MAILED FROM ZIP CODE 73102



NIXIE 731 DC 1 0008/27/14

RETURN TO SENDER  
NO SUCH STREET  
UNABLE TO FORWARD

BC: 73102749499 \*2457-07919-27-15

73102@7494