

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
FIRST NATIONAL CENTER, SUITE 860  
120 NORTH ROBINSON  
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Rodney Larry Watkins, Jr. (CRD #3091936);  
Southeast Investments, N.C. Inc. (CRD #43035); and  
Frank H. Black (CRD #22451);

Respondents.

ODS File No. 12-058

**NOTICE OF SERVICE ON THE ADMINISTRATOR**  
**AND**  
**AFFIDAVIT OF COMPLIANCE**

STATE OF OKLAHOMA    )  
  )    ss.  
COUNTY OF OKLAHOMA )

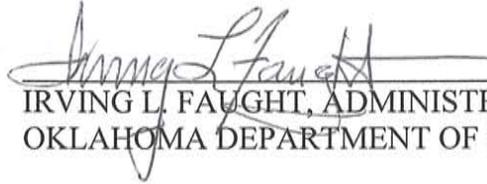
The undersigned affiant, of lawful age, being first duly sworn upon oath deposes and states:

1. That he is the Administrator of the Oklahoma Department of Securities (Administrator).
2. That a copy of the Notice of Opportunity for Hearing (Notice) with Enforcement Division Recommendation (Recommendation) attached was delivered to Affiant in the office of the Administrator pursuant to Section 1-611 of the Oklahoma Uniform Securities Act (Act), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011).
3. That the Administrator has received service of process on behalf of Respondents, pursuant to Section 1-611 of the Act.
4. That a copy of the Notice, with the Recommendation attached, and a copy of this Notice of Service on the Administrator and Affidavit of Compliance are being sent this 29th day of March, 2013, by certified mail, return receipt requested, delivery restricted to addressee, to the last known addresses of the Respondents, in compliance with Section 1-611 of the Act.
5. That this Affidavit of Compliance is declared filed of record as of the date set forth below in compliance with Section 1-611 of the Act.

FURTHER AFFIANT SAYETH NOT.

Dated this 29th day of March, 2013.

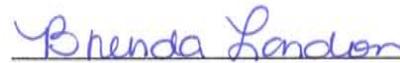
(SEAL)

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

Subscribed and sworn to before me this 29th day of March, 2013.

(SEAL)



  
Notary Public

STATE OF OKLAHOMA  
DEPARTMENT OF SECURITIES  
FIRST NATIONAL CENTER, SUITE 860  
120 NORTH ROBINSON  
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Rodney Larry Watkins, Jr. (CRD #3091936);  
Southeast Investments, N.C. Inc. (CRD #43035); and  
Frank H. Black (CRD #22451);

Respondents.

ODS File No. 12-058

**NOTICE OF OPPORTUNITY FOR HEARING**

1. Pursuant to the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011), an investigation was conducted into the activities of Rodney Larry Watkins, Jr. (Watkins), Southeast Investments, N.C. Inc. (Southeast), and Frank H. Black (Black) (collectively "Respondents"), in connection with the offer and/or sale of securities in and/or from the state of Oklahoma.

2. On the 26th day of March, 2013, the attached Enforcement Division Recommendation (Recommendation) was left in the office of the Administrator of the Oklahoma Department of Securities (Administrator).

3. Pursuant to 660:2-9-1 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities (as amended July 1, 2007) ("Rules") and Section 1-411 of the Act, the Administrator hereby gives notice to Respondents of their obligation to file an answer and their right to request a hearing to show why an order based on the Recommendation should not be issued.

4. The answer must be in writing and received by the Administrator within fifteen (15) days after service of this Notice. As required by 660:2-9-2 of the Rules, the answer shall indicate whether Respondents requests a hearing and shall specifically admit or deny each allegation contained in the Recommendation or state that Respondents do not have, and are unable to obtain, sufficient information to admit or deny each allegation.

5. Failure to file an answer in compliance with 660:2-9-2 of the Rules, to include a request for a hearing as provided for herein, shall result in the issuance of an order denying the pending registration application of Respondent Watkins; barring Respondent Watkins from engaging in the offer and/or sale of securities and association with a broker-dealer or investment adviser in any capacity; imposing a censure against Respondent Black; suspending the registration of Respondent Southeast for a period of one (1) year; and imposing a civil penalty in the amount of Sixty-Five Thousand Dollars (\$65,000) against Respondent Southeast.

6. Upon receipt of a written request, pursuant to 660:2-9-2 of the Rules, a hearing on the Recommendation shall be promptly scheduled or a written order denying hearing shall be issued.

7. Notice of the date, time and location of the hearing shall be given to Respondents not less than forty-five (45) days in advance thereof, pursuant to 660:2-9-2 of the Rules.

Witness my Hand and the Official Seal of the Oklahoma Department of Securities this 29th of March, 2013.

(SEAL)

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

CERTIFICATE OF MAILING

The undersigned hereby certifies that on the 29th day of March, 2013 a true and correct copy of the above and foregoing *Notice of Opportunity for Hearing* and the *Enforcement Division Recommendation* were mailed by certified mail, return receipt requested, delivery restricted, with postage prepaid thereon, addressed to:

Rodney Larry Watkins, Jr.  
104 E. 13th St.  
Sand Springs, OK 74063

Frank Black  
505 Oakland Avenue  
Rock Hill, SC 29730

Southeast Investments, N.C., Inc.  
820 Tyvola Road  
Suite 104  
Charolette, NC 28217

Patrick O. Waddel  
1700 Williams Center Tower  
One W. 3rd Street  
Tulsa, OK 74103-3522

Brenda London  
Brenda London, Paralegal

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



In the Matter of:

Rodney Larry Watkins, Jr. (CRD #3091936);  
Southeast Investments, N.C. Inc. (CRD #43035); and  
Frank H. Black (CRD #22451);

Respondents.

ODS File No. 12-058

**ENFORCEMENT DIVISION RECOMMENDATION**

Pursuant to Section 1-602 of the Oklahoma Uniform Securities Act of 2004 ("Act"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011), and 660:11-5-43 of the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities ("Rules"), Okla. Admin. Code §§ 660:1-1-1 through 660:25-7-1, the Oklahoma Department of Securities (Department) conducted an investigation into certain activities of Rodney Larry Watkins, Jr. (Watkins), Southeast Investments, N.C. Inc. (Southeast), and Frank H. Black (Black) (collectively "Respondents") in connection with the offer and/or sale of securities in and/or from Oklahoma. Based thereon, the Enforcement Division of the Department submits the following Findings of Fact, Authorities, and Conclusions of Law to the Administrator of the Department (Administrator) in support of sanctions against Respondents.

**Findings of Fact**

1. Watkins is a resident of Tulsa, Oklahoma.
2. Watkins first registered as a broker-dealer agent under the Oklahoma securities laws in December 1998. Watkins was registered as a broker-dealer agent and an investment adviser representative of Ameriprise Financial Services, Inc. (AFS) from March 2009 to October 2011. Watkins was allowed to resign as a result of an internal AFS investigation.
3. Watkins is currently associated with Southeast and filed for broker-dealer agent registration under the Act on February 24, 2012. Watkins' registration under the Act is pending.
4. Watkins is registered as a broker-dealer agent of Southeast in the states of California, Kansas and Texas.
5. Watkins' office and primary place of business is located at 46 E. 16<sup>th</sup> Street, Tulsa, Oklahoma (Primary Place of Business).

6. Southeast is, and has been at all times material hereto, a broker-dealer registered under the Act. Southeast's main office is designated as Watkins' office of supervisory jurisdiction (OSJ) and is located at 820 Tyvola Road – Suite 104, Charlotte, North Carolina.

7. Black, a South Carolina resident, is the owner and control person of Southeast. Black is the chief compliance officer of Southeast and a FINRA registered general principal. Black has not been registered under the Act in any capacity.

8. On March 29, 2012, the Enforcement Division of the Department filed an *Enforcement Division Recommendation* (Recommendation) to bar Watkins from association with a broker-dealer or investment adviser in any capacity based on Watkins engaging in unethical practices in violation of 660:11-5-42 of the Rules.

9. On August 22, 2012, Watkins voluntarily entered into an agreement (Agreement) with the Department. The Agreement provided for the issuance of an agreed order (Order) and stated that if Watkins "made any false or misleading statements to the Department in connection with this matter, the Department may initiate an action[.]"

10. On August 29, 2012, the Administrator signed the Agreement and issued the Order. The Order included the following provisions:

**IT IS FURTHER ORDERED** that Respondent [Watkins] shall not offer and/or sell any security as defined by Section 1-102 of the Act in and/or from the state of Oklahoma for a period of nine months. Such period shall retroactively begin on November 25, 2011, and end on August 26, 2012. This bar would apply to the transaction of business on or before August 26, 2012, in and/or from the state as a broker-dealer, broker-dealer agent, issuer agent, investment adviser, and/or investment adviser representative, as such terms are defined in Section 1-102 of the Act.

**IT IS FURTHER ORDERED** that Respondent [Watkins] shall at all times comply with all provisions of the Act and Rules, and successors of the Act and Rules, in connection with offers and/or sales of securities in and/or from the state of Oklahoma.

11. On May 11, 2012, while unregistered under the Act, Watkins solicited and/or effected, through his Primary Place of Business, the purchase of 1450.512 shares of Transamerica Asset Allc Growth C (IAALX) by Texas customer, Alprin, and received \$170.00 in commission.

12. On June 8, 2012, while unregistered under the Act, Watkins effected, through his Primary Place of Business, the sale of 30,000 shares of General Electric Cap Corp 4.375% Due 9/16/2020 Corporate Bond by Texas customer, Walker, and received \$375.00 in commission.

13. On June 19, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the sale of 16,000 shares of Bank of America Corp Note 4.75% due 9/15/2019 Corporate Bond and 32,000 shares of Goldman Sachs Grp. 4.75% due 5/15/2022 Corporate Bond by Texas customer, Walker, and received \$600.00 in commission.

14. On June 19, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the purchase of 442.87 shares of Pimco Total Return C (PTTCX) by Texas customer, Reed, and received \$50.00 in commission.

15. On June 20, 2012 while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the purchase of 45,000 shares of Morgan Stanley 5.50% due 7/28/2021 Corporate Bond by Texas customer, Walker, and received \$562.50 in commission.

16. On July 17, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the sale of 1743.281 shares of Columbia Portfolio Bldr Mod Agrsv C (AGECX) by Texas customer, Lewis, and received \$150.00 in commission.

17. On July 23, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the sale of 5000 shares of Federal Home Ln Mtg Corp 4.4% due 3/15/2029 Corporate Bond by Kansas customer, Payne, and received a \$100.00 in commission.

18. On July 23, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the purchase of 1528.014 shares of Transamerica Asset Allc Mod Gr C (IMLLX) by Texas customer, Lewis, and received \$180.00 in commission.

19. On July 26, 2012, while unregistered under the Act, Watkins effected, through his Primary Place of Business, the purchase of a CNL REIT by Texas customer, Walker, and received a \$2,050.65 in commission.

20. On August 6, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the purchase of 1522.843 shares of Transamerica Asset Allc Growth C (IAALX) by Texas customer, Alrpin, and received \$180.00 in commission.

21. On August 6, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the sale of 56.497 shares of BlackRock Global Allocation Inv C (MCLOX) by Texas customer, Watkins, and received \$65.00 in commission.

22. At the time Watkins entered into the Agreement on August 22, 2012, Watkins did not disclose to the Department that he had effected the transactions described in paragraphs 11 through 21 above.

23. On September 19, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the sale of 45,000 shares of Morgan Stanley 5.50% due 7/28/2021 Corporate Bond by Texas customer, Walker, and received \$675.00 in commission.

24. On September 19, 2012, while unregistered under the Act, Watkins solicited and effected, through his Primary Place of Business, the purchase of 822.511 shares of Pimco Total Return C (PTTCX) by Texas customer, Williams, and received \$95.00 in commission.

25. All of the transactions outlined in paragraphs 11-24 above were executed through Southeast and approved by Black.

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

#### Authorities

1. Section 1-102 of the Act provides in pertinent part:

2. "Agent" means an individual, other than a broker-dealer, who represents a broker-dealer in effecting or attempting to effect purchases or sales of securities or represents an issuer in effecting or attempting to effect purchases or sales of the issuer's securities.

\* \* \*

4. "Broker-dealer" means a person engaged in the business of effecting transactions in securities for the account of others or for the person's own account.

\* \* \*

30. "Sale" includes every contract of sale, contract to sell, or disposition of, a security or interest in a security for value, and "offer to sell" includes every attempt to offer to dispose of, or solicitation of an offer to purchase, a security or interest in a security for value.

2. Section 1-402 of the Act provides in pertinent part:

A. It is unlawful for an individual to transact business in this state as an agent unless the individual is registered under this act as an agent or is exempt from registration as an agent under subsection B of this section.

\* \* \*

D. It is unlawful for a broker-dealer, or an issuer engaged in offering, selling, or purchasing securities in this state, to employ or associate with an agent who transacts business in this state on behalf of broker-dealers or issuers unless the agent is registered under subsection A of this section or exempt from registration under subsection B of this section.

\* \* \*

F. It is unlawful for an individual acting as an agent, directly or indirectly, to conduct business in this state on behalf of a broker-dealer or issuer if the registration of the individual as an agent is suspended or revoked under this act; or the individual is barred from employment or association with a broker-dealer by an order under this act, the Securities and Exchange Commission, or a self-regulatory organization; or the individual is subject to an order of a court of competent jurisdiction temporarily, preliminarily or permanently enjoining such individual from conducting business in this state on behalf of a broker-dealer or issuer.

3. Rule 660:11-5-42 of the Rules states in pertinent part:

(a) Purpose. This rule is intended to set forth the standards of ethical practices for broker-dealers and their agents. Any noncompliance with the standards of ethical practices specified in this section will constitute unethical practices in the securities business; however, the following is not intended to be a comprehensive listing of all specific events or conditions that may constitute such unethical practices. The standards shall be interpreted in such manner as will aid in effectuating the policy and provisions of the Securities Act, and so as to require that all practices of broker-dealers, and their agents, in connection with their activities in this state shall be just, reasonable and not unfairly discriminatory.

(b) Standards.

(1) A broker-dealer and his agents, in the conduct of his business, shall observe high standards of commercial honor and just and equitable principles of trade. A broker-dealer and his agents shall not violate any federal securities statute or rule or any rule of a national securities exchange or national securities association of which it is a member with respect to any customer, transaction or business effected in this state.

\* \* \*

(22) The following standards shall apply to supervisory procedures:

(A) Each broker-dealer shall establish, maintain and enforce written procedures which will enable it to supervise properly the activities of each registered agent and associated person to assure compliance with applicable securities laws, rules, regulations and statements of policy promulgated by the Administrator and/or the Commission under the Securities Act.

(B) Final responsibility for proper supervision shall rest with the broker-dealer, the principal(s) of the broker-dealer registered in accordance with 660:11-5-11, and the principal(s) of the broker-dealer in each OSJ, including the main office, and the registered representatives in each non-OSJ branch office designated by the broker-dealer to carry out the supervisory responsibilities assigned to that office by the broker-dealer pursuant to the rules and regulations of the NASD. A copy of the written supervisory procedures shall be kept in each office of supervisory jurisdiction and each non-OSJ branch office.

4. Section 1-411 of the Act provides, in pertinent part:

A. If the Administrator finds that the order is in the public interest and subsection D of this section authorizes the action, an order issued under this act may deny an application, or may condition or limit registration[.]

B. If the Administrator finds that the order issued is in the public interest and subsection D of this section authorizes the action an order issued under this act may revoke, suspend, condition, or limit the registration of a registrant and if the registrant is a broker-dealer or investment adviser, any partner, officer, or director, any person having a similar status or performing similar functions, or any person directly or indirectly controlling the broker-dealer or investment adviser.

C. If the Administrator finds that the order is in the public interest and paragraphs 1 through 6, 8, 9, 10, 12 or 13 of subsection D of this section authorizes the action, an order under this act may censure, impose a bar, impose a civil penalty in an amount not to exceed a

maximum of Five Thousand Dollars (\$5,000.00) for a single violation or Two Hundred Fifty Thousand Dollars (\$250,000.00) for multiple violations on a registrant, and/or recover the costs of the investigation from a registrant and if the registrant is a broker-dealer or investment adviser, from any partner, officer, or director, any person having a similar function or any person directly or indirectly controlling the broker-dealer or investment adviser.

D. A person may be disciplined under subsections A through C of this section if the person:

\* \* \*

2. Has willfully violated or willfully failed to comply with this act or the predecessor act or a rule adopted or order issued under this act or the predecessor act within the previous ten (10) years[.]

\* \* \*

9. Has failed to reasonably supervise an agent, investment adviser representative, or other individual, if the agent, investment adviser representative, or other individuals was subject to the person's supervision and committed a violation of this act or the predecessor act or a rule adopted or order issued under this act or the predecessor act within the previous ten (10) years;

5. Section 1-505 of the Act provides:

It is unlawful for a person to make or cause to be made, in a record that is used in an action or proceeding or filed under this act, a statement that, at the time and in the light of the circumstances under which it is made, is false or misleading in a material respect, or, in connection with the statement, to omit to state a material fact necessary in order to make the statement made, in the light of the circumstances under which it is made, not false or misleading.

6. Section 1-610 of the Act provides in pertinent part:

C. For purpose of this section, an offer to sell or to purchase a security is made in this state, whether or not either party is then present in this state, if the offer:

1. Originates from within this state; or

2. Is directed by the offeror to a place in this state and received at the place to which it is directed.

### Conclusions of Law

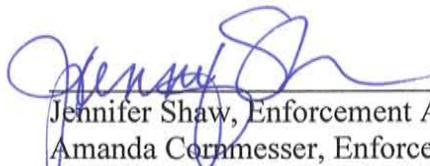
1. Watkins transacted business in and/or from this state as an agent without the benefit of registration under the Act, in violation of Section 1-402 of the Act.
2. Southeast associated with Watkins and allowed him to transact business in this state on its behalf without the benefit of registration under the Act, in violation of Section 1-402 of the Act.
3. Southeast and Black failed to supervise Watkins properly to ensure compliance with the Act, in violation of 660:11-5-42 of the Rules.
4. Watkins omitted to disclose the transactions outlined in paragraphs 11 through 21 above when he entered into the Agreement, in violation of Section 1-505 of the Act.
5. Watkins knowingly violated the Order by soliciting and effecting the transactions outlined above.
6. The Administrator is authorized, pursuant to Section 1-411 of the Act, to deny a pending agent application, suspend a registration, impose a censure, impose a bar, and/or impose a civil penalty against Respondents.
7. It is in the public interest for the Administrator to deny the pending agent registration application of Respondent Watkins; to bar Respondent Watkins from engaging in the offer and/or sale of securities and association with a broker-dealer or investment adviser in any capacity; to censure Respondent Black; to suspend the broker-dealer registration of Respondent Southeast; and to impose a civil penalty against Respondent Southeast.

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

**WHEREFORE**, it is recommended that the Administrator issue an order denying the pending registration application of Respondent Watkins; barring Respondent Watkins from engaging in the offer and/or sale of securities and association with a broker-dealer or investment adviser in any capacity; imposing a censure against Respondent Black; suspending the registration of Respondent Southeast for a period of one (1) year; imposing a civil penalty in the amount of Sixty-Five Thousand Dollars (\$65,000) against Respondent Southeast; and imposing such other sanctions as deemed appropriate and authorized by law.

Dated this 26<sup>th</sup> day of March, 2013.

Respectfully submitted,



---

Jennifer Shaw, Enforcement Attorney  
Amanda Cornmesser, Enforcement Attorney  
Oklahoma Department of Securities  
120 North Robinson, Suite 860  
Oklahoma City, OK 73102  
Telephone: (405) 280-7700  
Facsimile: (405) 280-7742  
Email: [jshaw@securities.ok.gov](mailto:jshaw@securities.ok.gov)  
[acornmesser@securities.ok.gov](mailto:acornmesser@securities.ok.gov)

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

7000 0520 0022 7150 1543

Notice 12-058 JS

Postage	\$		3-29-13	Postmark Here
Certified Fee		310		
Return Receipt Fee (Endorsement Required)		255		
Restricted Delivery Fee (Endorsement Required)		475		
<b>Total Postage &amp; Fees</b>	<b>\$</b>	<b>11.06</b>		

Rodney Larry Watkins, Jr.  
 104 E. 13th St.  
 Sand Springs, OK 74063

*by mailer)*

for Instructions

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

7000 0520 0022 7150 1550

Notice 12-058 JS

Postage	\$		3-29-13	Postmark Here
Certified Fee		310		
Return Receipt Fee (Endorsement Required)		255		
Restricted Delivery Fee (Endorsement Required)		475		
<b>Total Postage &amp; Fees</b>	<b>\$</b>	<b>11.06</b>		

Frank Black  
 505 Oakland Avenue  
 Rock Hill, SC 29730

*by mailer)*

for Instructions

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

7000 0520 0022 7150 1567

Notice 12-058 JS

Postage	\$		3-29-13	Postmark Here
Certified Fee		310		
Return Receipt Fee (Endorsement Required)		255		
Restricted Delivery Fee (Endorsement Required)		475		
<b>Total Postage &amp; Fees</b>	<b>\$</b>	<b>11.06</b>		

Southeast Investments, N.C., Inc.  
 820 Tyvola Road  
 Suite 104  
 Charlotte, NC 28217

*by mailer)*

for Instructions

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

7000 0520 0022 7150 1574

Notice 12-058 JS

Postage	\$		3-29-13	Postmark Here
Certified Fee		310		
Return Receipt Fee (Endorsement Required)		255		
Restricted Delivery Fee (Endorsement Required)		475		
<b>Total Postage &amp; Fees</b>	<b>\$</b>	<b>11.06</b>		

Patrick O. Waddel  
 1700 Williams Center Tower  
 One W. 3rd Street  
 Tulsa, OK 74103-3522

*by mailer)*

for Instructions

**SENDER: COMPLETE THIS SECTION**

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

Rodney Larry Watkins, Jr.  
104 E. 13th St.  
Sand Springs, OK 74063

**COMPLETE THIS SECTION ON DELIVERY**

A. Received by (Please Print Clearly) B. Date of Delivery

C. Signature  Agent  
 *[Signature]*  Addressee

D. Is delivery address different from item 1?  Yes  
If YES, enter delivery address below:  No

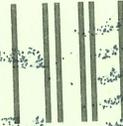
3. Service Type  
 Certified Mail  Express Mail  
 Registered  Return Receipt for Merchandise  
 Insured Mail  C.O.D.

4. Restricted Delivery? (Extra Fee)  Yes

2. Article Number (Copy from service label)

7000 0520 0022 7150 1543

UNITED STATES POSTAL SERVICE



First-Class Mail  
Postage & Fees Paid  
USPS  
Permit No. G-40

• Sender: Please print your name, address, and ZIP+4 in this box •

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

2013 APR - 5 A 8:30 8

RECEIVED  
OKLAHOMA DEPT.  
OF SECURITIES



**SENDER: COMPLETE THIS SECTION**

- Complete items 1, 2, and 3. Also complete item 4 if Restricted Delivery is desired.
- Print your name and address on the reverse so that we can return the card to you.
- Attach this card to the back of the mailpiece, or on the front if space permits.

1. Article Addressed to:

Patrick O. Waddel  
1700 Williams Center Tower  
One W. 3rd Street  
Tulsa, OK 74103-3522

Notice 12-058 JS

2. Article Number (Copy from service label)

7600 0520 0022 7150 1567

PS Form 3811, July 1999

**COMPLETE THIS SECTION ON DELIVERY**

A. Received by (Please Print Clearly) B. Date of Delivery

*Kyle Crenshaw* 4/1/13

C. Signature

X *Kyle Crenshaw*

Agent

Addressee

D. Is delivery address different from item 1?  Yes

If YES, enter delivery address below:  No

3. Service Type

Certified Mail

Express Mail

Registered

Return Receipt for Merchandise

Insured Mail

C.O.D.

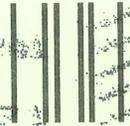
4. Restricted Delivery? (Extra Fee)

Yes

Domestic Return Receipt

102595-00-M-0952

UNITED STATES POSTAL SERVICE



First-Class Mail  
Postage & Fees Paid  
USPS  
Permit No. G-10

• Sender: Please print your name, address, and ZIP+4 in this box •

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

2013 APR - 8 A 7:55

RECEIVED  
OKLAHOMA DEPT.  
OF SECURITIES

