

State of Missouri
Office of Secretary of State

Case No. AP-08-35

IN THE MATTER OF:

MIKE BALL,

Respondent.

Serve at: 1517 West Walnut
Nevada, Missouri 64772

**FINAL ORDER TO CEASE AND DESIST AND ORDER IMPOSING
CIVIL PENALTIES AND AWARDING COSTS**

On February 23, 2009, the Enforcement Section of the Securities Division, by and through Lori Neidel, Chief Enforcement Counsel, submitted a Petition for Final Order to Cease and Desist and Payment of Civil Penalties and Costs (the "Petition"). After reviewing the Petition, the Commissioner issue the following findings of facts, conclusion of law, and order:

1. On December 19, 2008, the Enforcement Section of the Securities Division of the Office of Secretary of State through its Chief Enforcement Counsel Lori J. Neidel, 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 January 14, 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 "Order") against the Respondent.
3. The Respondent was promptly served with a copy of the Order via certified mail, and on January 16, 2009, Respondent acknowledged service by certified mail.
4. The Respondent did not file a request for hearing in this matter or otherwise contact or communicate with the Commissioner.
5. In the Petition, the Enforcement Section of the Securities Division requested that the Commissioner issue a Final Order to Cease and Desist in this matter.
6. In the Petitions, the Enforcement Section of the Securities Division requested that the Commissioner issue an order requiring that the Respondent pay the costs of the investigation in this matter, in the amount of two thousand three hundred dollars (\$2,300).
7. In the Petition, the Enforcement Section of the Securities Division requested that the Commissioner order the Respondent to pay a civil penalty in the amount of ten thousand dollars (\$10,000) for violations of Section 409.3-301, RSMo. (Cum. Supp. 2008).
8. In the Petition, the Enforcement Section of the Securities Division requested that the Commissioner order the Respondent to pay a civil penalty in the amount of ten thousand dollars (\$10,000) for violations of Section 409.4-402, RSMo. (Cum. Supp. 2008).
9. In the Petition, the Enforcement Section of the Securities Division requested that the Commissioner order the Respondent to pay a civil penalty in the amount of ten thousand dollars (\$10,000) for violations of Section 409.5-501, RSMo. (Cum. Supp. 2008).

ORDER

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

- A. The Cease and Desist Order entered in Case Number AP-08-35 on January 14, 2009, is **FINAL**.
- B. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Mike Ball shall pay a civil penalty in the amount of two thousand dollars (\$2,000) to the State of Missouri for multiple violations of Section 409.3-301, 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 shall deliver this payment to the Securities Division, 600 West Main Street, PO Box 1276, Jefferson City, Missouri 65102.
- C. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Mike Ball 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, 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 shall deliver this payment to the Securities Division, 600 West Main Street, PO Box 1276, Jefferson City, Missouri 65102.

- D. Pursuant to Section 409.6-604(d), RSMo. (Cum. Supp. 2008), Respondent Mike Ball 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, 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 shall deliver this payment to the Securities Division, 600 West Main Street, PO Box 1276, Jefferson City, Missouri 65102.
- E. Pursuant to Section 409.6-604(e), RSMo., (Cum. Supp. 2008), Respondent Mike Ball shall pay the additional sum of two thousand three hundred dollars (\$2,300) as reimbursement for the costs of the investigation and administration of this matter. This amount shall be sent within thirty (30) days of the date of this Order to the Secretary of State and made payable to the Missouri Secretary of State's Investor Education and Protection Fund. Respondents shall deliver this payment to the Securities Division, 600 W. Main Street, PO Box 1276, Jefferson City, Missouri 65102.
- F. 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.
- G. Respondent Mike Ball shall pay his own costs and attorney's fees with respect to this matter.
- H. This order is in the public interest and consistent with the purposes intended by the Missouri Securities Act of 2003.

SO ORDERED.

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY, MISSOURI THIS 19TH DAY OF MARCH, 2009.

ROBIN CARNAHAN
SECRETARY OF STATE

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

CERTIFICATE OF SERVICE

I hereby certify that on this 19th day of March, 2009, copies of the foregoing Final Order in the above styled case was **mailed by certified U.S. Mail, postage prepaid, to:**

Mike Ball
1517 West Walnut
Nevada, Missouri 64772

And hand delivered to:

Lori Neidel
Chief Enforcement Counsel
Securities Division

John Hale, Specialist