



STATE OF MISSOURI  
OFFICE OF SECRETARY OF STATE

IN THE MATTER OF: )  
)  
BECKER, JACKSON & REED, LLC; ALPINE )  
FAMILY ENTERTAINMENT PARKS 1, LLC; )  
ALPINE ENTERTAINMENT, INC.; EUGENE M. )  
HAGEN; AND JOHNATHAN PLIMPTON, )

*Respondents.* )

Case No.: AP-19-03

Serve: )  
)  
Becker, Jackson & Reed, LLC )  
5323 Millenia Lakes Blvd., Ste. 300 )  
Orlando, Florida 32839 )  
)  
Alpine Family Entertainment Parks 1, LLC )  
Vancouver Park Place )  
666 Burrad St. )  
Vancouver, B.C., V6C 3P6 )  
Canada )  
)  
Alpine Entertainment, Inc. )  
Vancouver Park Place )  
666 Burrad St. )  
Vancouver, B.C., V6C 3P6 )  
Canada )  
)  
Eugene M. Hagen )  
701 5th Ave., 42nd Floor )  
Seattle, Washington 98104 )  
)  
Johnathan Plimpton )  
701 5th Ave., 42nd Floor )  
Seattle, Washington 98104 )

**ORDER TO CEASE AND DESIST AND ORDER TO SHOW CAUSE WHY  
RESTITUTION, CIVIL PENALTIES, AND COSTS SHOULD NOT BE IMPOSED**

On February 8, 2019, the Enforcement Section of the Missouri Securities Division of the Office of Secretary of State (“the Enforcement Section”), through Director of Enforcement Steven C. Reed, submitted a Petition for Order to Cease and Desist and Order to Show Cause Why Restitution, Civil Penalties, and Costs Should Not Be Imposed (“the Petition”). After reviewing the Petition, the Missouri Commissioner of Securities (“the Commissioner”) issues the following order:

**I. ALLEGATIONS OF FACT**

The Petition alleges the following facts:

**A. Introduction**

From about January, 2016, through May, 2017, two Missouri residents invested a total of \$100,000 with Becker, Jackson & Reed, LLC (“BJR”). The Missouri residents were told the investment would be used to fund the construction of an amusement park in San Diego, California, by Alpine Family Entertainment Parks 1, LLC. The residents were promised an annual return of 51% on their investment. The Missouri investors have not received a return on their investment or a refund and have been unable to contact BJR since May of 2017. BJR’s bank records show most of the investment funds were wired to banks in Mexico to three unknown individuals. None of the investment funds were used toward construction or development of an amusement park.

**B. Respondents**

1. BJR is a limited liability company registered in the State of Florida. BJR’s last known address is 5323 Millenia Lakes Blvd., Ste. 300, Orlando, Florida 32839.
2. BJR’s website states that BJR is a member of the Financial Industry Regulatory Authority (“FINRA”) and the Securities Investment Protection Corporation (“SIPC”).
3. A check of records maintained by the Missouri Securities Division revealed that at all times relevant there was no registration, granted exemption, or notice filing indicating status as a “federal covered security” for any securities issued by BJR.
4. Alpine Entertainment, Inc. is a Delaware limited liability company organized on February 19, 2015, and according to its website at [alpineparks.homestead.com](http://alpineparks.homestead.com), is the manager of Alpine Family Entertainment Parks 1, LLC. Alpine Entertainment, Inc.’s last known address is Vancouver Park Place, 666 Burrad St., Vancouver, B.C., V6C 3P6, Canada.
5. A check of records maintained by the Missouri Securities Division revealed that at all times relevant there was no registration, granted exemption, or notice filing indicating status as a “federal covered security” for any securities issued by Alpine Entertainment, Inc.

6. Alpine Family Entertainment Parks 1, LLC is a Delaware limited liability company. A check of records maintained by the Missouri Securities Division revealed that at all times relevant there was no registration, granted exemption, or notice filing indicating status as a “federal covered security” for any securities issued by Alpine Family Entertainment Parks 1, LLC. Alpine Family Entertainment Parks 1, LLC’s last known address is Vancouver Park Place, 666 Burrad St., Vancouver, B.C., V6C 3P6, Canada.
7. A check of the records in CRD revealed that BJR, Alpine Entertainment, Inc., and Alpine Family Entertainment Parks 1, LLC have never been registered in Missouri as investment advisors, investment advisor representatives, broker-dealers, broker dealer agents, and/or issuer agents.
8. Eugene M. Hagen (“Hagen”) is employed by BJR as an alternative investment manager. A check of records in CRD revealed Hagen has never been registered in Missouri as in investment advisor, investment advisor representative, broker-dealer, broker dealer agent, and/or issuer agent. Hagen’s last known address is 701 5th Ave., 42nd Floor, Seattle, Washington 98104.
9. Johnathan Plimpton (“Plimpton”) is employed by BJR as the Chief Compliance Officer. A check of records in CRD revealed Plimpton has never been registered in Missouri as in investment advisor, investment advisor representative, broker-dealer, broker dealer agent, and/or issuer agent. Plimpton’s last known address is 701 5th Ave., 42nd Floor, Seattle, Washington 98104.
10. Upon information found in the National Futures Association’s BASIC database, at all times relevant to this matter, BJR, Hagen, and Plimpton were never registered as any type of commodity merchant or intermediary in connection with futures trading.
11. Upon information found in the U.S. Securities and Exchange Commission’s EDGAR database, at all times relevant to this matter, BJR, Hagen, and Plimpton were never registered as any type of National Securities Exchange.
12. Upon information found in the U.S. Treasury’s Financial Crimes Enforcement Network database, at all times relevant to this matter, BJR, Hagen, and Plimpton were never registered as any type of Money Service Business.

**C. Enforcement Section’s Investigation**

**Missouri Resident 1 (“MR1”)**

13. On or about July 25, 2017, the Enforcement Section opened an investigation on BJR after receiving a complaint from a 50-year-old Dexter, Missouri resident (“MR1”). MR1 also filed the complaint on MR1’s mother’s behalf, a 70-year-old Dexter Missouri resident (“MR2”). MR1 stated in MR1’s complaint to the Enforcement Section, among other things, the following.

- a. Sometime in 2014, MR1 was contacted by Hagen, who claimed to be the investment manager for BJR. Hagen solicited MR1 to invest in Alpine Family Entertainment Parks 1, LLC's family entertainment theme park. At the time, MR1 declined the offer;
  - b. Hagen contacted MR1 again in late 2015. Hagen told MR1 that the theme park was going to be a smaller version of Six Flags. Hagen told MR1 the theme park would be located in San Diego, California, and the land had already been purchased;
  - c. Hagen promised MR1 an annual return of 51%;
  - d. Hagen told MR1 there is always a risk, but Hagen was investing his own family's money;
  - e. MR1 received multiple pamphlets and emails from Hagen regarding the theme park;
  - f. MR1 invested \$70,000 from January, 2016, through April, 2017;
  - g. MR1 listed MR2 and MR1's sister as two other investors; according to MR1, MR2 invested \$30,000 and MR1's sister invested \$10,000; and
  - h. MR1 and MR2 have not received any return on their investment. There is no documentation indicating MR1's sister had invested.
14. MR1 told the Enforcement Section the following:
- a. MR1 received a cold call about an investment opportunity from Hagen approximately three years ago, but MR1 declined the offer;
  - b. MR1 stated Hagen would call periodically offering investment opportunities;
  - c. MR1 eventually invested multiple times with BJR through Hagen before Hagen became unavailable.
  - d. MR1 made several attempts to speak with Hagen, but was told Hagen was promoted to a higher position. MR1 began communicating with Plimpton;
  - e. MR1 eventually invested with BJR through Plimpton;
  - f. MR1 received emails regarding the status of MR1's investment;
  - g. MR1 stated the last time MR1 spoke with anyone from BJR was approximately in May of 2017 and the last attempt to contact anyone was approximately April, 2018;
  - h. MR1 stated MR1's mother MR2, had only spoken to BJR on a few occasions;

- i. MR1 invested \$70,000 with BJR and MR2 invested \$30,000 with BJR; and
- j. MR1 recalls investing \$10,000 on MR1's sister's behalf.

**Bank Record Review**

**MR1's \$10,000 Initial Investment**

15. A review of the BJR's Bank of America ("BOA") account ending in #6188 from January 1, 2016, to January 31, 2016, revealed, among other things:
- a. a beginning balance of \$33,880 on January 1, 2016;
  - b. \$18,050 in deposits that included a \$10,000 check from MR1 that was deposited on January 19, 2016;
  - c. payments in excess of \$1,050 to Wilkins Morency;
  - d. an online banking transfer of \$1,000 to BJR's checking account ending in #6162 and an online banking transfer of \$800 to an unknown individual;
  - e. wire transfers of \$38,122 to at least five different banks located in Mexico;
  - f. wire transfer fees in the amount of \$445; and
  - g. an ending balance of \$10,513 on January 31, 2016.

**MR1's \$15,000 Investment**

16. A review of the BJR's BOA account ending in #6162 from November 1, 2016, to November 30, 2016, revealed, among other things:
- a. a beginning balance of \$3,360 on November 1, 2016;
  - b. \$77,475 in deposits that included a \$15,000 check from MR1 that was deposited on November 29, 2016;
  - c. an online banking transfer of \$1,962.55 to BJR's checking account ending in #6188 and an online banking transfer of \$2,125 to Fontana;
  - d. wire transfers of \$39,677.50 to at least four different banks located in Mexico;
  - e. wire transfer fees in the amount of \$794.95; and
  - f. an ending balance of \$36,275 on November 30, 2016.

**MR1's \$25,000 Investment**

17. A review of the BJR's BOA account ending in #6162 from March 1, 2017, to March 31, 2017, revealed, among other things:
- a. a beginning balance of \$5,010 on March 1, 2017;
  - b. \$98,470 in deposits that included a \$25,000 wire deposit from MR1 on March 23, 2017;
  - c. an online banking transfer of \$3,000 to BJR's checking account ending in #6188 and an online banking transfer of \$400 to an unknown individual;
  - d. wire transfers of \$87,875 to at least four different banks located in Mexico;
  - e. wire transfer fees in the amount of \$659.95; and
  - f. an ending balance of \$11,545.05 on March 31, 2017.

**MR1's \$20,000 Investment**

18. A review of the BJR's BOA account ending in #6162 from May 1, 2017, to May 31, 2017, revealed, among other things:
- a. a beginning balance of \$5,605.06 on May 1, 2017;
  - b. \$246,104.74 in deposits that included a \$20,000 wire deposit from MR1 on May 25, 2017;
  - c. an online banking transfer of \$5,369.95 to BJR's checking account ending in #6188;
  - d. wire transfers of \$244,050 to at least four different banks located in Mexico;
  - e. wire transfer fees in the amount of \$1,379.95; and
  - f. an ending balance of \$909.90 on May 31, 2017.

**MR2's \$10,000 Initial Investment**

19. A review of the BJR's BOA account ending in #6188 from February 1, 2017, to February 28, 2017, revealed, among other things:
- a. a beginning balance of \$657.70 on February 1, 2017;

- b. \$50,530.05 in deposits that included a \$10,000 check from MR2 that was deposited on February 10, 2017;
- c. payments in excess of \$2,696.11 to Craigslist, Ring Central, GoDaddy.com, My Fax Service, Washington Secretary of State, Vonage, and USPS;
- d. an online banking transfer of \$1,300 to BJR's checking account ending in #6162;
- e. wire transfers of \$39,925 to at least five different banks located in Mexico;
- f. wire transfer fees in the amount of \$270.00; and
- g. an ending balance of \$6,996.64 on February 28, 2017.

**MR2's \$20,000 Investment**

20. A review of the BJR's BOA account ending in #6162 from March 1, 2017 to March 31, 2017, revealed, among other things:
- a. a beginning balance of \$5,010 on March 1, 2017;
  - b. \$98,470 in deposits that included a \$20,000 wire deposit from MR2 on March 23, 2017;
  - c. an online banking transfer of \$3,000 to BJR's checking account ending in #6188 and an online banking transfer of \$400 to unknown individual;
  - d. wire transfers of \$87,875 to at least four different banks located in Mexico;
  - e. wire transfer fees in the amount of \$659.95; and
  - f. an ending balance of \$11,545.05 on March 31, 2017.

**II. COMMISSIONER'S DETERMINATIONS AND FINDINGS**

**Multiple Violations of Offering and Selling Unregistered, Non-Exempt Securities**

21. **THE COMMISSIONER DETERMINES** that Respondents offered and/or sold unregistered, nonexempt securities in the State of Missouri by, among other things:
- a. soliciting MR1 and MR2 to invest money for the purpose of developing and constructing an amusement park;
  - b. receiving funds to invest from MR1 and MR2;

- c. providing and executing investment contracts with MR1 and MR2 which indicated that the investors would receive a percentage of the invested funds back, in addition to the full amount of their investment; and
  - d. promising a return on MR1 and MR2's investments that was dependent upon the efforts of others and not on the efforts of MR1 and MR2.
22. These activities constitute an offer and/or sale as those terms are defined in Section 409.1-102(26).<sup>1</sup>
23. The investments that Respondents offered and/or sold constitute securities as that term is defined in Sections 409.1-102(28).
24. At all times relevant to this matter, there was no registration, granted exemption, or notice filing indicating status as a "federal covered security" for the securities offered and sold by Respondents.
25. Respondents offered and/or sold securities in Missouri without these securities being (1) a federal covered security, (2) exempt from registration under Sections 409.2-201 or 409.2-203, or (3) registered under the Missouri Securities Act of 2003.
26. At the time Respondents engaged in the conduct set forth above, at least one investor was more than 60-years-old and was an elderly person as that term is defined under Section 409.6-604(d)(3)(B).
27. Respondents offered and sold unregistered securities in violation of Section 409.3-301 and engaged in an illegal act, practice, or course of business and such conduct is, therefore, subject to the Commissioner's authority under Section 409.6-604.

#### **Multiple Violations of Transacting Business as an Unregistered Broker-Dealer**

28. **THE COMMISSIONER DETERMINES** that Respondent BJR transacted business as an unregistered, non-exempt broker-dealer in the State of Missouri by engaging in the business of effecting transactions in securities for the account of others.
29. At all times relevant to this matter, Respondent BJR was not registered as a broker-dealer either with the Securities and Exchange Commission or with the State of Missouri.
30. Respondent BJR transacted business in Missouri without being registered or exempt from registration as a broker-dealer in violation of Section 409.4-401(a).
31. At the time Respondent BJR engaged in the conduct set forth above, at least one investor was more than 60-years-old and was an elderly person as that term is defined under Section 409.6-604(d)(3)(B).

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<sup>1</sup> Unless otherwise specified, all statutory references are to the 2016 Revised Statutes of Missouri.



32. Respondent offered and/or sold securities to investors in and/or from Missouri without being registered or exempt from registration as a broker-dealer in violation of Section 409.4-401(a), and engaged in an illegal act, practice, or course of business, and such conduct is, therefore, subject to the Commissioner's authority under Section 409.6-604.

**Multiple Violations of Transacting Business as an Unregistered Agent**

33. **THE COMMISSIONER DETERMINES** that Respondent offered and sold securities to investors in and from Missouri as representatives of BJR.
34. Hagen and Plimpton transacted business in Missouri on behalf of BJR, by, among other things, offering and/or selling investments to investors including MR1 and MR2.
35. This activity constitutes transacting business in the State of Missouri under Section 409.1-102(1).
36. At all times relevant to this matter Hagen and Plimpton were not registered as securities agents in the State of Missouri.
37. Hagen and Plimpton transacted business in Missouri by offering and/or selling securities without being registered or exempt from registration as an agent in violation of Section 409.4-402(a).
38. At the time Respondent BJR engaged in the conduct set forth above, at least one investor was more than 60-years-old and was an elderly person as that term is defined under Section 409.6-604(d)(3)(B).
39. Hagen and Plimpton offered and/or sold securities to investors in and from Missouri without being registered or exempt from registration as an agent in violation of 409.4-402(a), and engaged in an illegal act, practice, or course of business, and such conduct is, therefore, subject to the Commissioner's authority under Section 409.6-604.

**Multiple Violations of Employing an Unregistered Agent**

40. **THE COMMISSIONER DETERMINES** that BJR employed and/or associated with Hagen and Plimpton who offered and/or sold securities in the State of Missouri on behalf of BJR.
41. BJR's activities constitute employing and/or associating with an agent in the State of Missouri under Section 409.4-402(d).
42. At all times relevant to this matter BJR had no registration or granted exemption for any agents of BJR to transact business in the State of Missouri.
43. BJR employed and/or associated with Hagen and Plimpton who transacted business in Missouri as an agent without being registered or exempt from registration as an agent, in

violation of Section 409.4-402(d).

44. At the time Respondent BJR engaged in the conduct set forth above, at least one investor was more than 60-years-old and was an elderly person as that term is defined under Section 409.6-604(d)(3)(B).
45. Respondent BJR employed unregistered agents who transacted business in and/or from the State of Missouri in violation of Section 409.4-402(d), and engaged in an illegal act, practice, or course of business, and such conduct is, therefore, subject to the Commissioner's authority under Section 409.6-604.

**Multiple Violations of Making an Untrue Statement, Omitting to State Material Facts or Engaging in an Act, Practice, or Course of Business that Would Operate as a Fraud or Deceit Upon Another Person in Connection with the Offer or Sale of Securities**

46. **THE COMMISSIONER DETERMINES** that in connection with the offer, sale or purchase of a security, Respondents, made untrue statements of material fact or omitted to state a material fact necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading, including, but not limited to, telling MR1 that:
  - a. BJR is a member of FINRA and the SIPC;
  - b. the investment would be used to construct an amusement park to be built in San Diego, California;
  - c. MR1 and MR2 would receive a 51% return on their investments;
  - d. Hagen was investing his own family money into the enterprise; and
  - e. providing false pamphlets and emails regarding development and construction of the theme park.
47. These statements, in light of the circumstances under which they were made, were misleading statements because Respondents, omitted to disclose the following material facts that could impact the return and the viability of MR1 and MR2's investments:
  - a. that BJR was not registered as a broker-dealer;
  - b. that Hagen and Plimpton were not registered agents;
  - c. that an amusement park was not being constructed;
  - d. that Alpine Entertainment, Inc. and Alpine Family Entertainment Parks 1, LLC, were bogus, not operational or non-existent companies;

- e. that their investment money would be wired to banks in Mexico; and
  - f. that the investments offered and sold to MR1 and MR2 were not registered or exempt from registration.
48. In connection with the offer, sale or purchase of a security as described above, Respondents, collectively, engaged in an act, practice, or course of business that would operate as a fraud or deceit upon another person by, among other things:
- a. convincing MR1 and MR2 to invest in construction of amusement park, which was not being built;
  - b. promising a 51% rate of return on their investments; and
  - c. concealing that fact that the investment money was being wired to unknown individuals in Mexico.
49. Respondents made untrue statements of material fact, omitted to state material facts necessary in order to make the statements made, in light of the circumstances under which they were made, not misleading or engaged in an act, practice, or course of business that would operate as a fraud or deceit upon another person in violation of Section 409.5-501, and engaged in an illegal act, practice, or course of business, and such conduct is, therefore, subject to the Commissioner's authority under Section 409.6-604.
50. At the time Respondent BJR engaged in the conduct set forth above, at least one investor was more than 60-years-old and was an elderly person as that term is defined under Section 409.6-604(d)(3)(B).
51. An order is in the public interest and is consistent with the purposes of the Missouri Securities Act of 2003. *See* Section 409.6-605(b).

### **III. ORDER**

**NOW, THEREFORE,** it is hereby ordered that Respondents, their agents, employees and servants, and all other persons participating in or about to participate in the above-described violations with knowledge of this order be prohibited from violating or materially aiding in any violation of:

- A. Section 409.3-301, by offering or selling any securities as defined by Section 409.1-102(28), in the State of Missouri unless those securities are registered with the Securities Division of the Office of the Secretary of State in accordance with the provisions of Section 409.3-301;
- B. Section 409.4-401(a), by transacting business as an unregistered broker-dealer firm;
- C. Section 409.4-402(a), by transacting business as an unregistered agent;

- D. Section 409.4-402(d), by employing an unregistered agent; and
- E. Section 409.5-501, by, in connection with the offer or sale of securities, making an untrue statement of a material fact or omitting to state a material fact necessary in order to make the statement made, in light of the circumstances under which it is made, not misleading or engaging in an act, practice, or course of business that operates or would operate as a fraud or deceit upon another person.

#### **IV. STATEMENT**

Pursuant to Section 409.6-604, the Commissioner hereby states that he will determine whether to grant the Enforcement Section's request for civil penalties in the amount of:

- A. \$15,000 against each Respondent for more than one violation of Section 409.3-301 when at least one of these violations was committed against an elderly person, in a final order, unless the Respondents request a hearing and show cause why the penalties should not be imposed;
- B. \$15,000 against Respondent BJR for more than one violation of Section 409.4-401(a) when at least one of these violations was committed against an elderly person, in final order, unless Respondents request a hearing and show cause why the penalties should not be imposed;
- C. \$15,000 against Respondents Hagen and Plimpton for more than one violation of Section 409.4-402(a) when at least one of these violations was committed against an elderly person, in a final order, unless Respondents request a hearing and show cause why the penalties should not be imposed.
- D. \$15,000 against Respondent BJR for more than one violation of Section 409.4-402(d) when at least one of these violations was committed against an elderly person, in a final order, unless Respondents request a hearing and show cause why the penalties should not be imposed; and
- E. \$15,000 against each Respondent for more than one violation of Section 409.5-501 when at least one of these violations was committed against an elderly person, in a final order, unless Respondents request a hearing and show cause why the penalties should not be imposed.
- F. an order against Respondents to pay, jointly and severally, restitution for any loss, including any actual damages that may have been caused by the conduct, and interest at the rate of 8% per year from the date of the violation causing the loss or disgorge any profits arising from the violations of Section 409.3-301, 409.4-401, 409.4-402, and 409.5-501, in the final order, unless Respondents request a hearing and show cause why this restitution or disgorgement should not be imposed; and

G. an order against Respondents to pay, jointly and severally, the costs of the investigation in this proceeding, after a review of evidence of the amount submitted by the Enforcement Section.

**SO ORDERED:**

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY, MISSOURI THIS 19<sup>th</sup> DAY OF FEBRUARY, 2019.

JOHN R. ASHCROFT  
SECRETARY OF STATE

  
DAVID M. MINNICK  
COMMISSIONER OF SECURITIES





STATE OF MISSOURI  
OFFICE OF SECRETARY OF STATE

IN THE MATTER OF: )  
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BECKER, JACKSON & REED, LLC; ALPINE )  
FAMILY ENTERTAINMENT PARKS 1, LLC; )  
ALPINE ENTERTAINMENT, INC.; EUGENE M. )  
HAGEN; AND JOHNATHAN PLIMPTON, )

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Johnathan Plimpton )  
701 5th Ave., 42nd Floor )  
Seattle, Washington 98104 )

**NOTICE**

**TO: Respondents and any unnamed representatives aggrieved by this Order:**

You may request a hearing in this matter within thirty (30) days of the receipt of this Order pursuant to Section 409.6-604(b), RSMo. (2016), and 15 CSR 30-55.020. Any request for a hearing before the Commissioner must contain:

- a. a brief statement of the facts;
- b. a summary of the factual and legal issues involved;
- c. a request for relief;
- d. suggestions in support of the relief sought, including the relevant statutes;
- e. the name of the party requesting the hearing; and
- f. the name of the attorney representing the party, if any.

Within fifteen (15) days after receipt of a request in a record from a person or persons subject to this order, the Commissioner will schedule this matter for a hearing.

A request for a hearing must be mailed or delivered, in writing, to:

**David M. Minnick, Commissioner of Securities**  
**Office of the Secretary of State, Missouri**  
**600 West Main Street, Room 229**  
**Jefferson City, Missouri, 65102**

CERTIFICATE OF SERVICE

I hereby certify that on this 19<sup>th</sup> day of February, 2019, a copy of the foregoing Petition for Order to Cease and Desist in the above styled case was **mailed by certified U.S. mail to:**

Becker, Jackson & Reed, LLC  
5323 Millenia Lakes Blvd., Ste. 300  
Orlando, Florida 32839

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Vancouver Park Place  
666 Burrad St.  
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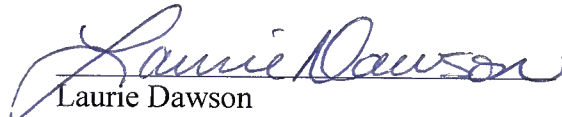
Eugene M. Hagen  
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Seattle, Washington 98104

Johnathan Plimpton  
701 5th Ave., 42nd Floor  
Seattle, Washington 98104

Joshua McDonald  
260 Ramsey Street NE  
Cleveland, Tennessee 37312

**And hand delivered to:**

Steven C. Reed, Director of Enforcement  
Securities Division  
Missouri Secretary of State's Office  
600 West Main Street, Room 229  
Jefferson City, Missouri 65101

  
Laurie Dawson  
Securities Office Manager