

**ADMINISTRATIVE PROCEEDING**  
**BEFORE THE**  
**SECURITIES COMMISSIONER OF SOUTH CAROLINA**

**IN THE MATTER OF:**

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)  
**AMENDED ORDER TO**  
**CEASE AND DESIST**

James Christopher "Chris" Alexander

[REDACTED]

Respondent.

**File No. 16055**

**WHEREAS**, the Securities Commissioner has authorized and directed the Securities Division (the "Division") to administer the provisions of S.C. Code Ann. § 35-1-101, *et seq.*, the South Carolina Uniform Securities Act of 2005 (the "Act"); and

**WHEREAS**, the Division received information regarding alleged securities-related activities of James Christopher "Chris" Alexander ("Alexander" or the "Respondent"); and

**WHEREAS**, based on the information received, the Division determined it was necessary and appropriate to open an investigation pursuant to S.C. Code Ann. § 35-1-602 to ascertain whether the Respondent had violated, was violating, or was about to violate the Act; and

**WHEREAS**, in connection with the investigation, the Division has determined that evidence exists to support the following findings of fact and conclusions of law:

**I. JURISDICTION**

1. The Securities Commissioner has jurisdiction over this matter pursuant to S.C. Code Ann. § 35-1-601(a).

**II. RESPONDENT**

2. The Respondent is a South Carolina resident with a last known address of 3107 Edwards Road, Taylors, South Carolina 29687.

**III. FINDINGS OF FACT**

3. In or about November 2015, the Respondent began soliciting two Maryland residents

a. Investor A's investment would be used to fund the Trucking Venture's advertising efforts.

b. In addition to a full return of principal, Investor A could expect to receive thirty percent (30%) of the Trucking Venture's fees generated by the advertising funded by Investor A's investment; and

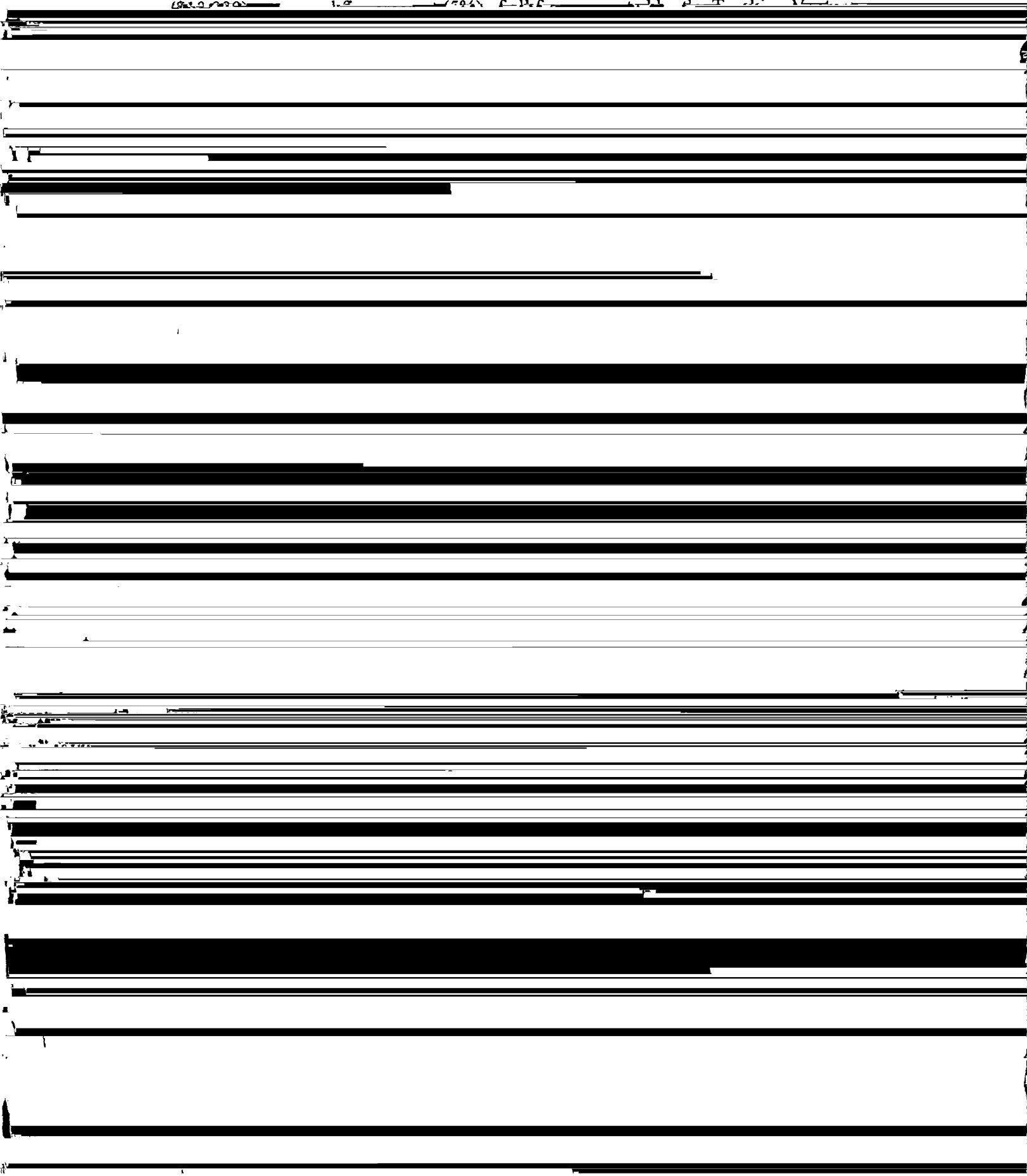
It is expected that the Respondent will receive an additional return of between twenty-two thousand

dollars (\$22,000) and twenty-five thousand dollars (\$25,000) within two (2) months.

5. To entice Investor A to invest quickly, the Respondent stated that if Investor A invested by November 23, 2015, Investor A would also receive a five-percent (5%) ownership

by November 25, 2015, Investor B would receive an additional ten-thousand-dollar

(b) (5) - ACP, (b) (5) - DPP, (b) (5) - AWP, (b) (5) - ACP, (b) (5) - DPP, (b) (5) - AWP



IV. CONCLUSIONS OF LAW

18. The South Carolina Uniform Securities Act of 2005, S.C. Code Ann. § 35-1-101, *et seq.*, covering the offer and sale of securities in this State

19. Pursuant to S.C. Code Ann. § 35-1-102(29), investment contracts, stock, and bonds, *inter alia*, constitute securities.

20. Pursuant to S.C. Code Ann. § 35-1-301, it is unlawful for a person to offer or sell a security in this State unless that security is a federal covered security, exempt from registration, or registered.

Pursuant to S.C. Code Ann. § 35-1-102(4), "broker-dealer" is a person who effects

transactions in securities for the account of others or for the person's own account.

22. Pursuant to S.C. Code Ann. § 35-1-401(a), it is unlawful for an individual to transact business in this State as a broker-dealer unless that individual is registered or exempt from registration.

Pursuant to S.C. Code Ann. § 35-1-501, it is unlawful for a person, in connection with the

of the Act that the Respondent be ordered to cease and desist from engaging in the above-

violations of the Act, except appropriate civil

penalty for his wrongdoing, and be barred from conducting securities business in this State in the future.

V. **CEASE AND DESIST ORDER**

NON-INTERESTED ... 25 1 604(2)(1) it is hereby



