

Beck is the general managing partner of Ozark Investor's Group, LLC. Beck is also the president, treasurer, and director of Nature's Pace Sanctuary, Incorporated.

2. Back 40 Group, Inc. ("Back 40"), was a Missouri corporation formed on April 29, 2005, with a mailing address of 1 Redbud Lane, Hartshorn, Missouri 65479. Back 40 was a holding company that operated an internet-based store offering books, DVDs and instant downloads; a media production company; an independent music label; and an internet radio website. A check of the records maintained by the Missouri Secretary of State Business Services Division ("Missouri Business Services Division") indicates that the registered agent of Back 40 was Beck and that Back 40 was administratively dissolved on December 1, 2010. After Back 40 was administratively dissolved, Beck continued doing business as Back 40; however, a check of the records at the Missouri Business Services Division indicates that Beck never filed a fictitious name registration for Back 40.
3. Ozark Investor's Group, LLC ("Ozark"), formerly known as HermLin Trading, LLC, is a Missouri limited liability company organized on February 8, 2005. A check of the records of the Missouri Business Services Division indicates that the registered agent of Ozark is Beck with a mailing address of 6044 Highway KK, Hartshorn, Missouri 65479.
4. Nature's Pace Sanctuary, Incorporated ("Nature's Pace Sanctuary") is an Ohio corporation formed on September 6, 1995, to be a research farm, retreat center, and sanctuary. A check of the records of the Missouri Business Services Division indicates that the registered agent of Nature's Pace Sanctuary is Beck with a mailing address of 1 Forest Lane, Box 8, Hartshorn, Missouri 65479.
5. Linda L. Lee ("Lee") is a Missouri resident and wife of Beck with an address of 1 Redbud Lane, Hartshorn, Missouri 65479. Lee was the chief operating officer, secretary, and director of Back 40 and is the secretary of Ozark. Lee is also the vice president, secretary, and director of Nature's Pace Sanctuary.
6. A check of the records maintained by the Commissioner indicates that at all times relevant to this matter, Beck, Back 40, and/or Ozark have never been registered with the State of Missouri as an investment adviser, investment adviser representative, broker-dealer, broker-dealer agent, and/or issuer agent.
7. A check of the records maintained by the Commissioner indicates that at all times relevant to this matter, there was no registration, granted exemption, or notice filing for the securities offered and/or sold by Beck, Back 40, and/or Ozark.

Enforcement Section Investigation

8. On or before January 5, 2010, Beck solicited individuals to invest in Back 40 through Beck's three websites: Back 40 Group Corporate ("Back 40 Corporate"),¹ Back 40

¹ <http://back40group.com/>

Forums (“Back 40 Forums”),² and an internet radio website for Back 40 (“Back 40 Radio”).³

Back 40 Solicitation on Back 40 Corporate and Back 40 Forums Websites

9. From at least January 5, 2010, until at least October 15, 2013, Beck, on behalf of Back 40, solicited individuals to invest in Back 40 on the Back 40 Corporate website, which stated, among other things, the following:
 - a. “For investors in a Development Stage company such as Back 40 Group this [is] a golden opportunity;”
 - b. Back 40 will issue 20,000 stock warrants for each \$10,000 investment;
 - c. “[B]y the end of eighteen months or so your options alone should equal the amount of your original investment;” and
 - d. an investment, together with warrants, “could be worth over 24 times the amount of [the] investment.”
10. The Back 40 Corporate website failed to disclose any information about the registration of Beck and Back 40, as well as any risks for the Back 40 investment.
11. In 2011, the Back 40 Forums website stated, among other things, the following regarding an investment in Back 40 under the heading, “Investment Opportunity;”
 - a. “We plan on being listed on the stock market within 9 months;” and
 - b. “[W]e have 58 investors currently.”

Ozark Solicitation on Back 40 Forums Website

12. On or before January 5, 2010, Beck solicited individuals to invest in Ozark on the Back 40 Forums website. On that website, Beck, on behalf of Ozark, stated, among other things, the following regarding the Ozark investment:
 - a. “INVEST AS LITTLE AS \$1000 IN A GREEN BUSINESS TO HELP RURAL AREAS” (emphasis in original);
 - b. Ozark “is a limited liability company organized to supply funding and consulting services to companies in developmental stages one through three. We do not provide early stage funding to ‘seed’ or ‘start-up’ companies;”

² <http://back40forums.com/>

³ <http://kwbc.fm/>

- c. “The first company we are assisting is Back 40 Group, Incorporated, a Second Stage company;”
 - d. “It is expected that Back 40’s sales will reach approximately \$3,000,000 per year by the end of 2010;”
 - e. “Each ownership Unit is \$1000.00. An unlimited number of Units can be purchased and a payment plan can allow the additional Units to be funded over an agreed period of time;”
 - f. “The type of businesses that the LLC invests in are typically those which are far enough advanced to be low risk and also are at the stage that typically produces the best return on investment”
 - g. “If you are in [sic] investor interested in helping our area prosper yet keeping our areas [sic] traditional values then Ozark Investor’s Group, LLC could be a good match for you;”
 - h. “It is management’s opinion that our return to members will be well above average and that the risk is low;”
 - i. “Since Ozark Investor’s Group is professionally managed by seasoned investors you won’t need to worry about day-to-day operations. You will receive regular reports on how we are doing and have input through member meetings on a scheduled basis. For more information please call;” and
 - j. “Also check out how to earn 10% on your money while maintaining an opportunity to make a far more substantial amount of money within 2½ years with stock options from the Back 40 Group.”
13. The Back 40 Forums website failed to disclose any information about the securities registration of Beck, Back 40, and/or Ozark, as well as any specific risks related to Ozark’s offering, business, and/or industry.

Solicitation on Back 40 Radio Website

14. In 2011, Beck operated the Back 40 Radio website that, among other things:
- a. contained links directing individuals to solicitation materials contained on the Back 40 Corporate and Back 40 Forums website;
 - b. failed to disclose any information about the securities registration of Beck, Back 40, and/or Ozark; and
 - c. failed to disclose any specific risks associated with Back 40’s offering, business, and/or industry.

Missouri Resident 1

15. In or before July 2007, Beck, on behalf of Back 40 and Ozark, solicited a 55-year-old Summersville, Missouri resident (“MR1”) to invest in Back 40 through Ozark. Beck told MR1, among other things, that:
 - a. Beck and/or Back 40 were “making a lot of money;” and
 - b. an investment in Back 40 would “triple.”
16. Beck failed to disclose to MR1 any risks associated with the investment.
17. Between July 2007 and September 2007, MR1 invested \$3,000 with Beck and received a certificate for one unit in Ozark. MR1’s Ozark investment was pooled with other Ozark investors’ funds and used to invest in Back 40.
18. MR1 never received a return on MR1’s investment and was never repaid the principal from MR1’s investment.

Missouri Resident 2

19. In or around June 2007, Beck, on behalf of Back 40 and Ozark, spoke with a 52-year-old Summersville, Missouri resident (“MR2”) about investing in Back 40 and/or Ozark. With regard to the solicitation and the investment, MR2 stated that Beck:
 - a. went door-to-door throughout Summersville soliciting new investors;
 - b. solicited MR2 at MR2’s personal residence; and
 - c. told MR2 that Beck would repay MR2 the original investment if anything were to happen to Ozark and/or Back 40.
20. In or around June 2007, MR2 invested \$1,000 with Beck in Ozark and received a certificate for one unit in Ozark. MR2’s Ozark investment was pooled with other Ozark investors’ funds and used to invest in Back 40.
21. MR2 never received a return on MR2’s investment and was never repaid the principal from MR2’s investment.

Missouri Resident 3

22. In or around July 2007, Beck, on behalf of Back 40, spoke with a 50-year-old Summersville, Missouri resident (“MR3”) about an investment in Back 40. With regard to the solicitation and the investment, Beck:
 - a. solicited MR3 via telephone;

- b. provided MR3 with a copy of the Back 40 Corporate website solicitation;
 - c. told MR3 that there were “large investment banks” investing in Back 40; and
 - d. provided MR3 with a Private Placement Memorandum.
23. Between July 2007 and July 2009, MR3 invested \$40,000 with Beck in Back 40.
24. MR3 never received a return on MR3’s investment and was never repaid the principal from MR3’s investment.

Missouri Resident 4

25. In or before December 2008, Beck, on behalf of Back 40, paid a 64-year-old Summersville, Missouri resident (“MR4”) at least 25,000 shares of Back 40 stock as compensation for working at Back 40.
26. MR4 never received a return on MR4’s investments and was never paid the principal from MR4’s investments.
27. While working at Back 40, MR4 overheard Beck misrepresent the amount of monthly business Back 40 was generating while soliciting a potential investor.

Pennsylvania Resident

28. In 2008, Beck, on behalf of Back 40, spoke with a 55-year-old Pennsylvania resident (“PR”) who was temporarily living in Summersville, Missouri, about investing in Back 40. Beck told PR, among other things, the following:
- a. Back 40 shares would be worth \$2.50 when Back 40 went public; and
 - b. there was virtually no risk investing in Back 40.
29. Between September 2008 and December 2009, PR invested at least \$22,000 with Beck in Back 40.
30. PR never received a return on PR’s investments and was never paid the principal from PR’s investments.

Back 40 Bank Accounts

31. On May 3, 2005, Beck opened a business checking account in the name of Back 40 with Community Bank located in Summerville, Missouri (“Back 40 Community Bank Account”).

32. A review of the Back 40 Community Bank Account revealed, among other things, that:
- a. Beck and Lee were listed as the signatories on the Back 40 Community Bank Account;
 - b. from November 2007 through October 2010, investment funds in excess of \$70,000 were deposited into the Back 40 Community Bank Account including \$25,000 from one of MR3's investments and \$12,000 from one of PR's investments;
 - c. investment funds were commingled with Beck's personal and/or other business funds and used, among other things, to make:
 - i. numerous payments to Beck;
 - ii. numerous payments to Nature's Pace Sanctuary; and
 - iii. withdrawals in the form of checks made payable to cash.
33. On February 16, 2007, Beck opened a business checking account in the name of Back 40 with First National Bank located in Willow Springs, Missouri ("Back 40 First National Account").
34. A review of the Back 40 First National Account revealed, among other things, that:
- a. Beck and Lee were listed as the signatories on the Back 40 First National Account;
 - b. from October 2007 through July 2009, investment funds in excess of \$47,000 were deposited into the Back 40 First National Account including \$15,000 from one of MR3 investments;
 - c. investment funds were commingled with Beck's personal and/or other business funds and used, among other things, to make:
 - i. numerous payments to Beck;
 - ii. numerous payments to Nature's Pace Sanctuary; and
 - iii. payments to Bass Pro, Cracker Barrel, Grapevine Grocer, Vinton County Commissioners, and Flossies Apple Bar.

Ozark Bank Account

35. On May 15, 2006, Beck opened a business checking account in the name of Ozark with Community Bank located in Summersville, Missouri ("Ozark Bank Account").

36. A review of the Ozark Bank Account revealed, among other things, that:
- a. Beck and Lee were listed as the signatories on the Ozark Bank Account;
 - b. from February 2007 through January 2008, investment funds of at least \$18,000 were deposited into the Ozark Bank Account including \$3,000 from one of MR1's investments and \$1,000 from one of MR2's investments;
 - c. investment funds were commingled with Beck's personal and/or other business funds and used, among other things, to make:
 - i. numerous cash withdrawals totaling at least \$10,000; and
 - ii. numerous payments to Nature's Pace Sanctuary.

Beck's On-the-Record Examination

37. On November 7, 2011, Beck appeared before the Enforcement Section for an on-the-record examination ("Beck OTR"). During the Beck OTR, Beck stated, among other things, the following:
- a. Back 40 has been in the development stage since approximately 2006;
 - b. at trade shows Beck stated that Back 40 was expanding and looking for investors and that Beck instructed potential investors to contact Beck;
 - c. the general public could access the Back 40 Corporate, Back 40 Forums, and Back 40 Radio websites;
 - d. Beck posted information about investing in Back 40 and/or Ozark on the Back 40 Forums website under the names "Old Buzzard," "CatManDo," "Fluffy," and "Bottle Fed;"
 - e. the Back 40 Corporate website contained Beck's e-mail address and phone number for potential investors to obtain additional information about investing in Back 40;
 - f. Back 40 has approximately 58 investors;
 - g. Ozark obtained funding for Back 40;
 - h. there are approximately 12 investors in Ozark;
 - i. the Ozark investment funds were pooled and invested in Back 40;

- j. Beck, as the managing member of Ozark, had the authority to make decisions for the Ozark investors;
- k. other than voting rights in Ozark, investors were only to receive the profits from their investments; and
- l. there was “not much” risk in investments in Back 40 and Ozark.

Additional Findings

- 38. In connection with the offer and/or sale of securities, Ozark and/or Beck failed to disclose to MR1, MR2, MR3, MR4, and/or PR, among other things, the following:
 - a. that Beck was not registered to offer or sell securities in the State of Missouri;
 - b. financial information to support Beck’s ability to repay investors if anything happened to Ozark and/or Back 40;
 - c. financial information to support the promised returns of Ozark and/or Back 40;
 - d. that the price of Ozark units was negotiable; and/or
 - e. that investment funds would be commingled with Beck’s business and/or personal funds.
- 39. In connection with the offer and/or sale of securities, Ozark and/or Beck misrepresented to MR1, MR2, MR3, and/or PR, among other things:
 - a. that large investment banks were investing in Back 40;
 - b. the return on an investment; and/or
 - c. Beck and/or Back 40 were making a lot of money.

II. CONCLUSIONS OF LAW

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

- 40. The **COMMISSIONER DETERMINES** that Respondents Ozark and Beck violated Section 409.3-301 when they offered and/or sold securities by, among other things:
 - a. soliciting over 50 individuals to invest in Ozark and/or Back 40;
 - b. receiving funds to purchase units of Ozark and shares of Back 40 from these investors; and/or

- c. issuing units of Ozark and shares of Back 40 to these investors.
- 41. These activities constitute an offer and/or sale as those terms are defined in Section 409.1-102(26), RSMo. (Cum. Supp. 2013).⁴
- 42. The shares that Respondents Ozark and/or Beck offered and/or sold constitute securities as that term is defined in Sections 409.1-102(28).
- 43. 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/or sold by Respondents Ozark and Beck.
- 44. Respondents Ozark and/or Beck offered and/or sold securities in Missouri without these securities being (1) federal covered securities, (2) exempt from registration under Sections 409.2-201 or 409.2-203, or (3) registered under the Missouri Securities Act of 2003, in violation of Section 409.3-301.
- 45. Respondents Ozark’s and/or Beck’s conduct in violation of Section 409.3-301 constitutes 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

- 46. The COMMISSIONER FURTHER DETERMINES that Beck violated Section 409.4-402(a) by transacting business as an unregistered agent when he:
 - a. represented Back 40 and Ozark in effecting or attempting to effect sales of Ozark units and Back 40 shares; and
 - b. offered and/or sold securities to investors in Missouri on behalf of Ozark and/or Back 40 by, among other things:
 - i. offering and/or selling MR1 one or more units in Ozark;
 - ii. offering and/or selling MR2 one or more units in Ozark;
 - iii. offering and/or selling at least 10 other investors one or more units in Ozark;
 - iv. offering and/or selling MR3 one or more shares in Back 40;
 - v. offering and/or selling MR4 one or more shares in Back 40;
 - vi. offering and/or selling PR one or more shares in Back 40; and/or

⁴ Unless otherwise noted, all statutory references are to RSMo. (Cum. Supp. 2013).

- vii. offering and/or selling at least 50 other investors one or more shares in Back 40.
- 47. These activities constitute transacting business as an agent in the State of Missouri under Section 409.1-102(1).
- 48. At all times relevant, Respondent Beck was not registered as an agent in the State of Missouri.
- 49. Respondent Beck 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).
- 50. Respondent Beck's conduct in violation of Section 409.4-402(a) constitutes an illegal act, practice, or course of business and such conduct is, therefore, subject to the Commissioner's authority under Section 409.6-604.

Violation of Employing or Associating with an Unregistered Agent

- 51. The **COMMISSIONER FURTHER DETERMINES** that Respondent Ozark violated Section 409.4-402(d) when it employed and/or associated with Beck, who transacted business as an agent in the State of Missouri on behalf of Respondent Ozark.
- 52. Respondent Ozark's activities constitute employing and/or associating with an agent in the State of Missouri under Section 409.4-402(d).
- 53. At all times relevant to this matter, Respondent Ozark had no registration or granted exemption for any agents of Respondent Ozark to transact business in the State of Missouri.
- 54. Respondent Ozark employed and/or associated with Beck, who transacted business in Missouri as an agent without being registered or exempt from registration as an agent, in violation Section 409.4-402(d).
- 55. Respondent Ozark's conduct in violation of Section 409.4-402(d) constitutes 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 a Security

- 56. The **COMMISSIONER FURTHER DETERMINES** that Respondent Beck violated Section 409.5-501(2) when, in connection with the offer, sale or purchase of a security as described above, Respondent Beck, on behalf of Ozark, made an untrue statement of

material fact to MR1 when Beck told MR1 that Beck and/or Back 40 were making a lot of money.

57. The **COMMISSIONER FURTHER DETERMINES** that Respondent Beck violated Section 409.5-501(2) when, in connection with the offer, sale or purchase of a security as described above, Respondent Beck, on behalf of Ozark, made an untrue statement of material fact to MR3 when Beck told MR3 that large investment banks were investing in Back 40.
58. The **COMMISSIONER FURTHER DETERMINES** that, in connection with the offer, sale or purchase of a security as described above, Respondent Beck violated Section 409.5-501(2) when, on behalf of Ozark, he omitted to state to MR1, MR2, MR3, MR4, and/or PR material facts 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, the following:
- a. telling MR1 that the Back 40 investment would triple. This statement, in light of the circumstances under which it was made, was a misleading statement because Beck omitted to disclose the following material facts that could impact this return and the viability of MR1's investment:
 - i. the risks associated with the investment;
 - ii. that Beck was not registered to offer or sell securities in the state of Missouri;
 - iii. financial information to support the promised return on the investments;
 - iv. that the price of Ozark units was negotiable; and
 - v. that investor funds would be commingled with Becks's personal and other business funds and used to make cash withdrawals.
 - b. telling MR2 that Beck would repay MR2 the original investment if anything were to happen to Ozark and/or Back 40. This statement, in light of the circumstances under which it was made, was a misleading statement because Beck omitted to disclose the following material facts that could impact this ability to return the investor's funds and the viability of the investment:
 - i. the specific risks associated with Ozark's offering, business, and/or industry;
 - ii. that Beck was not registered to offer or sell securities in the state of Missouri;
 - iii. financial information to support Beck's ability to repay MR2; and

- iv. that investor funds would be commingled with Beck's personal and other business funds and used, among other things to pay Beck's personal expenses, used to make cash withdrawals, and/or used to make payments to Nature's Pace Sanctuary.
- 59. The **COMMISSIONER FURTHER DETERMINES** that Respondent Beck violated Section 409.5-501(3) when, in connection with the offer, sale or purchase of a security as described above, Respondent Beck, on behalf of Ozark, engaged in an act, practice or course of business that would operate as a fraud or deceit upon MR1, MR2, MR3, MR4, and/or PR by, among other things:
 - a. commingling investor funds with Beck's personal and other business funds;
 - b. lulling these investors by posting statements on websites that the investment would:
 - i. increase in value;
 - ii. that sales would reach approximately \$3,000,000 a year by the end of 2010;
 - iii. that large investment banks were investing in Back 40; and/or
 - iv. that Back 40 planned on being listed on the stock market within nine months;
 - c. offering and selling investments in Back 40 and in Ozark and using the investment funds for Nature's Pace Sanctuary.
- 60. Respondents Ozark and/or Beck made untrue statements of material fact and 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 and 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.
- 61. At the time Respondents Beck and Ozark engaged in this conduct, MR4 was over 60 years old and was an elderly person as that term is defined under Section 409.6-604(d)(3)(B).
- 62. Respondents Ozark's and/or Beck's conduct in violation of Section 409.5-501 constitutes engaging 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.
- 63. This 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 Respondent, his agents, employees and servants, and all other persons participating in or about to participate in the above-described violations with knowledge of this Order are prohibited from violating or materially aiding in any violation of Section 409.3-301 by offering or selling any securities that are not registered under the act or exempt, or federally covered; violating or materially aiding in any violation of Section 409.4-402(a) by transacting business as an unregistered agent; violating or materially aiding in any violation of Section 409.4-402(d) by employing or associating with any unregistered agent transacting business in the State of Missouri; and violating or materially aiding in any violation of 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(b), the **Commissioner hereby states** that he will determine whether to order:

- A. a \$10,000 civil penalty against Respondent Beck for more than one violation of Section 409.3-301;
- B. a \$10,000 civil penalty against Respondent Ozark for more than one violation of Section 409.3-301;
- C. a \$10,000 civil penalty against Respondent Beck for more than one violation of Section 409.4-402(a);
- D. a \$1,000 civil penalty against Respondent Ozark for violating Section 409.4-402(d);
- E. a \$15,000 civil penalty against Respondent Beck for more than one violation of Section 409.5-501 when at least one of these violations was committed against an elderly person;
- F. a \$10,000 civil penalty against Respondent Ozark for more than one violation of Section 409.5-501;
- G. Respondents to pay restitution for any loss, including the amount of 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 violation of Sections 409.3-301, 409.4-402, and 409.5-501 in a final order, unless Respondents request a hearing and show cause why this restitution or disgorgement should not be imposed; and

- H. Respondents to pay the costs of the investigation in this proceeding, awarding an amount to be determined after review of evidence submitted by the Enforcement Section, unless Respondents request a hearing and show cause why an award should not be made.

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY,
MISSOURI THIS 12TH DAY OF JUNE 2014.



JASON KANDER
SECRETARY OF STATE

Andrew M. Hartnett

ANDREW M. HARTNETT
COMMISSIONER OF SECURITIES



STATE OF MISSOURI
OFFICE OF SECRETARY OF STATE

IN THE MATTER OF:

OZARK INVESTOR’S GROUP, LLC;
and HERMAN P. BECK, Individually
and doing business as BACK 40 GROUP, INC.,

Respondents.

Case No. AP-14-10

Serve: Ozark Investor’s Group, LLC
Herman P. Beck, Registered Agent at:
1 Redbud Lane
Hartshorn, Missouri 65479

and

Herman P. Beck, at:
1 Redbud Lane
Hartshorn, Missouri 65479

NOTICE

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

You may request a hearing in this matter within 30 days from the date of this Order pursuant to Section 409.6-604(b), RSMo. (Cum. Supp. 2012).

Within 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:

**Andrew M. Hartnett, 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 12th day of June, 2014, a copy of the foregoing Order to Cease and Desist and Order to Show Cause Why Restitution, Civil Penalties, and Costs Should Not Be Imposed, and a copy of the Petition for Order to Cease and Desist and Order to Show Cause Why Restitution, Civil Penalties, and Costs Should Not Be Imposed in the above styled case was sent **by certified U.S. mail to:**

Ozark Investor's Group, LLC
Registered Agent: Herman P. Beck
1 Redbud Lane
Hartshorn, Missouri 65479

and

Herman P. Beck
1 Redbud Lane
Hartshorn, Missouri 65479

and by hand-delivery to:

Mary Hosmer
Assistant Commissioner
Missouri Securities Division

Tyler McCormick
Securities Enforcement Counsel
Missouri Securities Division



John Hale, Securities Office Manager