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COMMISSIONERS OFFICE

COMMONWEALTH OF KENTUCKY
PUBLIC PROTECTION CABINET
DEPARTMENT OF FINANCIAL INSTITUTIONS
AGENCY CASE NO. 2021-AH-0001

DEPARTMENT OF FINANCIAL INSTITUTIONS

COMPLAINANT

vs.

AGREED ORDER

JARVIS GLOBAL INVESTMENTS LLC
AND ARTHUR JARVIS

RESPONDENTS

FACTUAL BACKGROUND

1. The Department of Financial Institutions (“DFI”) is responsible for administering the provisions of KRS Chapter 292, the Securities Act of Kentucky (“the Act”), as well as any applicable rules, regulations and orders entered pursuant to the Act.
2. Jarvis Global Investments LLC (“Jarvis Global”) is an Ohio Limited Liability Company, with a principal address of 10089 Meadowknoll Drive, Loveland, Ohio 45140.
3. Arthur Royce Jarvis (“Jarvis”) is the President of Jarvis Global. Jarvis and Jarvis Global will be referred to in this Order collectively as “Respondents”.
4. On March 30, 2020, DFI received applications from Respondents for investment adviser and investment adviser representative registrations.
5. Prior to March 30, 2020, Respondents had been relying on exemptions under KRS 292.330(9) and KRS 292.330(12), which exempt investment advisers and investment adviser representatives from registration if they serve five (5) or fewer Kentucky clients and have no place of business within Kentucky, among other limitations.

6. As part of the application process, DFI reviewed documentation submitted by Jarvis Global, which indicated that Jarvis Global had eight (8) Kentucky clients. Further communications revealed that Jarvis Global obtained its sixth Kentucky customer on April 5, 2019. DFI determined that Respondents engaged in unregistered investment adviser activity after April 5, 2019.

7. On November 24, 2020, DFI approved Respondents' applications for investment adviser and investment adviser representative registrations.

ACTIONS FOR COMPLIANCE AND SETTLEMENT

The DFI and Respondents, collectively, in the interest of economically and efficiently resolving this matter, agree as follows:

8. Respondents waive their right to a hearing at which they would be entitled to legal representation, to confront and cross-examine witnesses, and to present evidence on their behalf, or to otherwise appeal or set aside this Agreed Order.

9. Respondents consent to and acknowledge the jurisdiction of the DFI over this matter. This Order is a matter of public record and may be disseminated as such.

10. Respondents neither admit nor deny violating any provision of KRS 292.

11. In consideration of the execution of this Agreed Order, Respondents, for themselves, and for their successors and assigns, hereby release and forever discharge the

Commonwealth of Kentucky, the DFI, Office of Legal Services, and each of their members, agents, and employees in their individual capacities, from any and all manner of actions, causes of action, suits, debts, judgments, executions, claims and demands whatsoever, known and unknown, in law or equity, that Respondents ever had, now have, may have or claim to have against any or all of the persons or entities named in this paragraph arising out of or by reason of this settlement.

12. Respondents agree to pay to DFI the amount of One Thousand dollars (\$1,000.00) as full settlement of this matter.

13. Respondents agree to pay the above-referenced amount in the form of an ACH payment or a certified check or money order made payable to the "Kentucky State Treasurer" and mailed to the "Department of Financial Institutions, Securities Division, 500 Mero Street, 2SW19, Frankfort, KY 40601 re: Jarvis Global Agreed Order". The payment shall be due upon entry of the Agreed Order.

14. Respondents agree to continue to take measures to ensure compliance with all securities statutes and regulations.

15. By signing below, the parties acknowledge they have read the foregoing Agreed Order, know and fully understand its contents, and that they are authorized to enter into and execute this Agreed Order and legally bind their respective parties. This Agreed Order shall constitute the final resolution of this matter.

AGREED on this the 1st day of March, 2021.

/s/ Charles A. Vice

CHARLES A. VICE
COMMISSIONER

**Charles A.
Vice**

Digitally signed by: Charles A. Vice
DN: CN = Charles A. Vice email =
Charles.Vice@ky.gov C = US O =
KY DFI OU = Commissioner's Office
Date: 2021.03.01:08:33:16 -05'00'

Consented to:

This 1st day of March, 2021

Marni R. Gibson

Marni R. Gibson, Director
Division of Securities
Department of Financial Institutions

AND

This 2nd day of February, 2021

Arthur Royce Jarvis

Arthur Royce Jarvis
Jarvis Global Investments LLC

ACKNOWLEDGEMENT

STATE OF Ohio)
COUNTY OF Warren)

On this the 2nd day of February, 2021, before me Kimberly D Walko, the undersigned, Arthur Royce Jarvis, did personally appear and acknowledge himself/herself to be the authorized representative of Jarvis Global Investments LLC and that being authorized to do so did enter into and execute the foregoing instrument, for himself and for Jarvis Global Investments LLC, for the purposes therein contained.

In witness whereof I hereunto set my hand.

My Commission Expires: March 9 2025



Kimberly D Walko
Notary Public

CERTIFICATE OF SERVICE

I hereby certify that a copy of the foregoing Agreed Order was sent on this the 2nd of March, 2021, by certified mail, return receipt requested, or hand-delivery, to the following:

Arthur Royce Jarvis
Jarvis Global Investments LLC
10089 Meadowknoll Drive
Loveland, Ohio 45140

Gary A. Stephens
Department of Financial Institutions
500 Mero Street 2SW19
Frankfort, KY 40601

Department of Financial Institutions

Name: Allison Reed

Title: Executive Staff Advisor