

STATE OF NEVADA
OFFICE OF THE SECRETARY OF STATE
SECURITIES DIVISION

2250 LAS VEGAS BOULEVARD NORTH, SUITE 400
NORTH LAS VEGAS, NEVADA 89030

In the Matter of:

BAUMAN ADVISORY GROUP, LLC,
CRD #153061; and TODD CHARLES
BAUMAN, CRD #2605865, an individual.

Respondents.

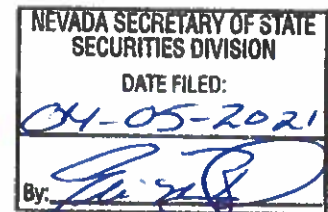
ADMINISTRATIVE CONSENT ORDER

File No. CIC20-116

TO: Bauman Advisory Group, LLC
3425 Cliff Shadows Parkway, Suite 130
Las Vegas, NV 89129

Bauman Advisory Group, LLC
10120 South Eastern Avenue, Suite 218
Henderson, NV 89052

Todd Charles Bauman
3425 Cliff Shadows Parkway, Suite 130
Las Vegas, NV 89120



WHEREAS, BAUMAN ADVISORY GROUP, LLC, CRD No. 153061, is a Nevada-based investment adviser firm located at 3425 Cliff Shadows Parkway, Suite 130, Las Vegas, NV 89129, with an alternate address of 10120 South Eastern Avenue, Suite 218, Henderson, NV 89052;

WHEREAS, on November 20, 2020, the Nevada Securities Division (Division), pursuant to the Administrator's authority under NRS § 90.410, conducted an inspection of Respondents to verify compliance with Nevada's Uniform Securities Act (Act);

WHEREAS, based on the facts and circumstances revealed during the course of this inspection, Respondents failed to maintain accurate financial books and records;

WHEREAS, it is a violation of NAC § 90.387 to fail to maintain accurate financial books and records;

WHEREAS, Respondents have advised the Division of their desire to resolve the above failure to comply with the requirements of Nevada's Uniform Securities Act (Act), on the terms specified with this Administrative Consent Order;

WHEREAS, Respondents elect to permanently and expressly waive any right to a hearing and appeal under the Act and/or to seek judicial review under the Nevada Administrative Procedure Act, NRS Chapter 233B, with respect to this Order.

NOW THEREFORE, the Administrator, pursuant to the Act, hereby enters the following:

ORDER

Finding the following appropriate and in the public's interest, and on the basis of the foregoing, and Respondents' consent to the entry of this Order,

IT IS HEREBY ORDERED:

1. Respondents will cease from violating the Act and will comply with said Act.
2. Respondents will pay the Nevada Secretary of State a civil penalty in the cumulative amount of Two Thousand Five Hundred and No Cents (\$2,500.00), due upon signing of the Respondents' consent to entry of this Administrative Order.
3. Respondents shall submit a check made payable to the Secretary of State in the amount of \$1000.00 for its fee for the inspection of Respondents' records performed under NRS § 90.410.
4. All amounts submitted under this section shall be remitted to:

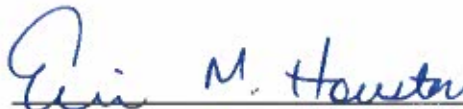
Nevada Secretary of State
c/o Stacey Roter
2250 Las Vegas Boulevard North, Suite 400
North Las Vegas, NV 89030

- 1 5. In consideration, the Division will take no further enforcement action based upon the
2 circumstances covered by this inspection and Order and close its administrative
3 investigation of the Respondents in connection with the aforementioned activities.
- 4 6. Nothing in this Order shall be construed as a waiver of the Division's right to investigate
5 and pursue any violations by Respondents in connection with other activity not set forth
6 herein.
- 7 7. Nothing in this Order is intended to limit or create for third parties any private remedies
8 against Respondents.
- 9 8. This Order shall be effective as of the date on which it is signed by the Administrator as set
10 forth below.

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12 IT IS SO ORDERED.

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14 DATED this 5th day of April, 2021.

15 **BY ORDER OF THE ADMINISTRATOR**
16 Office of the Secretary of State, Securities Division

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18 ERIN M. HOUSTON
19 Deputy Secretary for Securities
20 Securities Administrator
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CONSENT TO ENTRY OF ADMINISTRATIVE ORDER

Respondent Bauman Advisory Group, LLC ("BAG") and Todd Charles Bauman (collectively Respondents) hereby acknowledge that the have been served with a copy of this Order, has read the foregoing Order, are aware of their rights to a hearing and appeal in this matter, and have waived the same.

Respondents specifically acknowledge that a violation of this Order may constitute a felony pursuant to NRS 90.650.

Respondents admit the jurisdiction of the Securities Division of the Nevada Office of the Secretary of State and consent to entry of this Order by the Administrator of the Division as settlement of the issues contained within this Order.

Respondents state that no promise of any kind or nature, other than the consideration set forth in the Order, was made to them to induce them to enter into this Order and that they have entered into this Order voluntarily.

Dated this 1 day of April, 2021.



Todd Charles Bauman, Individually, and as an
Authorized Representative of
Bauman Advisory Group, LLC