

**STATE OF NEVADA**  
**OFFICE OF THE SECRETARY OF STATE**  
**SECURITIES DIVISION**  
2250 LAS VEGAS BOULEVARD NORTH, SUITE 400  
LAS VEGAS, NEVADA 89030

In the Matter of:

COJO BAY ADVISORS, LLC, CRD  
#133029

Respondent.

*IS 20200420-0134*

ADMINISTRATIVE CONSENT ORDER

File No. CIC19-082

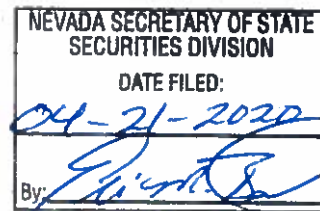
NEVADA  
SECRETARY OF STATE

TO: COJO BAY ADVISORS, LLC  
930 Tahoe Blvd., Suite 802-164  
Incline Village, NV 89451

APR 20 2020

SECURITIES DIVISION

*\$2500.00 - REVOLVING*  
*\$1000.00 - INSPECTION FEE*



WHEREAS, COJO BAY ADVISORS, LLC ("COJO"), CRD #133029 ("Respondent"), is a registered investment adviser firm located at 930 Tahoe Blvd., Suite 802-164, Incline Village, NV 89451;

WHEREAS, Robert Bixby Green, Jr., CRD #2582158, is a registered investment adviser located at 930 Tahoe Blvd., Suite 802-164, Incline Village, NV 89451;

WHEREAS, on June 20, 2016, Compliance/Audit Investigators with the Nevada Securities Division, Office of the Secretary of State ("Division"), pursuant to the Administrator's authority under NRS 90.410, conducted an inspection of Respondent to verify compliance with the Act;

WHEREAS, based on the facts and circumstances revealed during the course of that inspection, Respondent failed to provide and maintain executed copies of certain agreements for Wealth Management Services. Respondent also failed to maintain complete client records;

WHEREAS, the Division notified the Respondent of the deficiencies on November 15, 2016;

**WHEREAS**, on June 6, 2019, the Division conducted a second inspection of Respondent to verify compliance with the Act;

**WHEREAS**, based on the facts and circumstances revealed during the course of this second inspection, Respondent again failed to provide and maintain the executed copies of the Agreement for Wealth Management Services. It also failed to maintain copies of the most recently executed investment policy statements for certain clients, in violation of NAC 90.3864 and NAC 90.387;

**WHEREAS**, Respondent has advised the Division of its agreement to resolve the above failures to comply with the requirements in the state of Nevada on the terms specified in this Administrative Consent Order ("Order");

**WHEREAS**, Respondent elects 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 Procedures Act, NRS Chapter 233B, with respect to this Order.

**NOW THEREFORE**, the Administrator of the Division, pursuant to the Nevada Uniform Securities Act, hereby enters the following:

**ORDER**

Finding the following appropriate and in the public interest, and on the basis of the Findings of Facts, Conclusions of Law, and Respondent's consent to the entry of this Order,

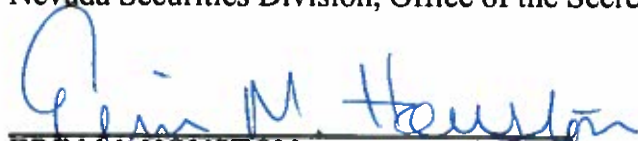
**IT IS HEREBY ORDERED:**

1. Respondent will cease violating the Act and will comply with said Act.
2. Respondent will pay the Nevada Secretary of State a civil penalty in the amount of Two Thousand Five Hundred Dollars and No Cents (\$2,500.00) concurrently with the filing of this Order.
3. Respondent shall submit herewith a check made payable to the Secretary of State in the amount of One Thousand Dollars and No Cents (\$1,000.00) for its fee for the inspection of records performed under NRS 90.410.

4. Respondent shall electronically remit all executed agreements for Wealth Management Services and updated Investment Policy Statements for all clients within forty (40) days of the effective date of this Order.
5. In consideration, the Division will take no further enforcement action based upon the circumstances covered by this inspection and this Order. The Division likewise closes its administrative investigation of the Respondent in connection with the aforementioned activities.
6. Nothing in this Order shall be construed as a waiver of the Division's right to investigate and pursue any violations by the Respondent in connection with actions other than the actions as set forth herein.
7. Nothing in this Order is intended to limit or create for third parties any private remedies against the Respondent.
8. This Order shall be effective as of the date on which it is signed by the Administrator as set forth below.

Dated this 21<sup>st</sup> day of April 2020.

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



ERIN M. HOUSTON  
Deputy Secretary for Securities  
Securities Administrator

**CONSENT TO ENTRY OF ADMINISTRATIVE ORDER**

COJO Bay Advisors, LLC, by and through its authorized representative, Robert Bixby Green, Jr., hereby acknowledges that it has been served with a copy of this Administrative Consent Order ("Order"), has read the foregoing Order, is aware of its rights to a hearing and appeal in this matter, and has waived the same.

COJO Bay Advisors, LLC, by and through its authorized representative, Robert Bixby Green, Jr., admits the jurisdiction of the Securities Division of the Office of the Secretary of State, State of Nevada and consents to entry of this Order by the Administrator of the Division as settlement of the issues contained in this Order.

COJO Bay Advisors, LLC, by and through its authorized representative, Robert Bixby Green, Jr., states that no promise of any kind or nature, other than the consideration set forth in the Order, was made to it to induce it to enter into this Order and that it has entered into this Order voluntarily.

Robert Bixby Green, Jr. represents that he is the authorized representative of COJO Bay Advisors LLC, and that as such, is authorized to enter into this Order for and on behalf of COJO Bay Advisors, LLC.

COJO BAY ADVISORS, LLC

By:   
Robert Bixby Green, Jr.  
Authorized Representative