

**UNITED STATES OF AMERICA**  
**Before the**  
**SECURITIES AND EXCHANGE COMMISSION**

**SECURITIES EXCHANGE ACT OF 1934**  
**Release No. 98485 / September 22, 2023**

**ADMINISTRATIVE PROCEEDING**  
**File No. 3-21706**

**In the Matter of**

**DOUGLAS HAWKINS, Esq.,**

**Respondent.**

**ORDER OF SUSPENSION PURSUANT  
TO RULE 102(e)(2) OF THE  
COMMISSION'S RULES OF PRACTICE**

**I.**

The Securities and Exchange Commission deems it appropriate to issue an order of forthwith suspension of Douglas Hawkins pursuant to Rule 102(e)(2) of the Commission's Rules of Practice [17 C.F.R. ' 201.102(e)(2)].<sup>1</sup>

**II.**

The Commission finds that:

1. Hawkins is an attorney licensed by the states of Kentucky and Texas. He is currently suspended from practicing law in both jurisdictions.

2. On May 9, 2023, a judgment of conviction was entered against Hawkins in *United States of America v. Douglas Hawkins*, 5:21-CR-110-KKC-01, in the United States District Court for the Eastern District of Kentucky, Central Division, finding him guilty of one count of securities fraud (15 U.S.C. Section 78j(b) & 17 C.F.R. Section 204.10b-5), one count of investment adviser fraud (15 U.S.C. Section 80b-6) and two counts of mail fraud (18 U.S.C. Section 1341).

3. As a result of this conviction, Hawkins was sentenced to ten years in prison followed by three years of supervised release and ordered to pay restitution in the amount of \$1,703,070. He was also ordered to forfeit a \$85,590 interest in a home and a bank account.

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<sup>1</sup> Rule 102(e)(2) provides in pertinent part: "Any ... person who has been convicted of a felony or a misdemeanor involving moral turpitude shall be forthwith suspended from appearing or practicing before the Commission."

### **III.**

In view of the foregoing, the Commission finds that Hawkins has been convicted of a felony within the meaning of Rule 102(e)(2) of the Commission's Rules of Practice.

Accordingly, it is ORDERED, that Douglas Hawkins is forthwith suspended from appearing or practicing before the Commission pursuant to Rule 102(e)(2) of the Commission's Rules of Practice.

By the Commission.

Vanessa A. Countryman  
Secretary