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IN THE UNITED STATES DISTRICT COURT
DISTRICT OF UTAH, CENTRAL DIVISION

UNITED STATES OF AMERICA,	<u>FELONY INFORMATION</u>
Plaintiff,	Count 1: 15 U.S.C. §§ 78j(b), 78ff, and 17 C.F.R. § 240.10b-5 (Securities Fraud)
vs.	Case: 2:18-cr-00019 Assigned To : Stewart, Ted Assign. Date : 01/11/2018 Description: USA v. Sampson
ERIC LARSON SAMPSON,	
Defendant.	

The United States Attorney alleges that at all times relevant to this Felony Information:

Count 1
15 U.S.C. §§ 78j(b), 78ff, and 17 C.F.R. § 240.10b-5
(Securities Fraud)

I. BACKGROUND

1. Defendant ERIC LARSON SAMPSON (“SAMPSON”) was a resident of Washington County, in the District of Utah.

2. SAMPSON was the president and majority owner of My Investment Advisor (“MY IA”), a Delaware corporation and investment advisor firm licensed in Utah from January 2009 until September 1, 2016.

3. SAMPSON was licensed as an investment advisor representative of MY IA and was responsible for the supervision of MY IA's business, including the accuracy and completeness of information provided to clients.

4. MY IA provides advisory services to clients but acts only as a solicitor for other investment advisory firms that invest and manage client monies. MY IA then receives compensation for referring clients to those firms.

5. SAMPSON, as an investment advisor had a fiduciary obligation to act in his clients' best interest.

6. SAMPSON was also associated either directly or indirectly with companies called Shooks Run, LLC ("SHOOKS"), Wright Total Indoor Comfort, Inc. ("WRIGHT"), the Hills at Santa Clara, Inc. ("THE HILLS"), Santa Clara Hills Holding, LLC "THE HOLDING COMPANY"), and Golden Assets, LLC. ("GOLDEN ASSETS").

II. THE SCHEME AND ARTIFICE TO DEFRAUD

7. Beginning in and around 2010 and continuing to present, in the Central Division of the District of Utah and elsewhere,

ERIC LARSON SAMPSON,

defendant herein, devised and intended to devise a scheme to defraud MY IA clients, and to obtain money and property by means of materially false and fraudulent pretenses, representations and promises, and omissions of material facts. SAMPSON solicited MY IA clients to invest in other businesses he directly or indirectly owned and controlled, including SHOOKS, WRIGHT, THE HILLS, THE HOLDING COMPANY, and GOLDEN ASSETS.

8. SAMPSON raised more than approximately \$6.5 million dollars from

approximately 25 investors.

9. SAMPSON provided only general detail to investors, who believed they were investing in either in real estate development or an HVAC company. SAMPSON provided no financial disclosure to investors, some of whom believed they were making investments through MY IA.

10. In executing and attempting to execute the scheme and artifice to defraud, and in furtherance thereof, defendant SAMPSON Willfully and knowingly, directly and indirectly, by the use of means and instruments of interstate commerce, and of the mails and of the facilities of national securities exchanges, used and employed manipulative and deceptive devices and contrivances in connection with the purchase and sale of securities, in violation of Title 17, Code of Federal Regulations, Section 240.10b-5, by: (1) employing a device, scheme, and artifice to defraud; (2) making untrue statements of material fact and omitting 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 (3) engaging in acts, transactions, practices, and courses of business which would operate and did operate as a fraud and deceit upon other persons, in violation of 15 U.S.C. §§ 78j(b), 78ff, and 17 C.F.R. § 240.10b-5 (Securities Fraud).

III. OBJECT OF THE SCHEME AND ARTIFICE TO DEFRAUD

11. It was the object of the scheme and artifice to defraud for defendant SAMPSON to fraudulently obtain money from his MY IA clients through false statements, misrepresentations, deception, fraudulent conduct, and omissions of material facts, and thereafter cause the money to be diverted for defendant SAMPSON's personal use and benefit.

IV. MANNER AND MEANS OF THE SCHEME AND ARTIFICE TO DEFRAUD

12. In execution and furtherance of the scheme and artifice to defraud, defendant SAMPSON, made or caused to be made, one or more of the following false and fraudulent representations to the MY IA clients/investors:

- a. That SAMPSON would use the money for real estate development when in fact he used it for other purposes including making payments to previous investors to give the illusion of investment returns.
- b. That SAMPSON would use the money for WRIGHT when in fact he used it for other purposes including making payments to previous investors to give the illusion of investment returns.

13. In execution and furtherance of the scheme and artifice to defraud, defendant SAMPSON concealed, among other, the following material facts:

- a. That SAMPSON specifically targeted his MY IA clients as investors.
- b. That SHOOKS did not actually own land or property and that SHOOKS had significant debts and liabilities.
- c. That SAMPSON did not disclose the risks associated with the investment.

V. REPRESENTATIVE CONDUCT

14. Beginning in and around early 2010 and continuing until around the present, within the Central Division of the District of Utah and elsewhere,

ERIC LARSON SAMPSON,

defendant herein, willfully and knowingly, directly and indirectly, by the use of means and instruments of interstate commerce, and of the mails, and of the facilities of national securities

exchanges, used and employed manipulative and deceptive devices and contrivances in connection with the purchase and sale of securities, in violation of Title 17, Code of Federal Regulations, Section 240.10b-5, by: (1) employing a device, scheme, and artifice to defraud; (2) making untrue statements of material fact and omitting 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 (3) engaging in acts, transactions, practices, and courses of business which would operate and did operate as a fraud and deceit upon other persons, in instances including but not limited to each count below:

COUNT	DATE (on or about)	USE OF INTERSTATE MEANS
1	10/9/2012	Wire transfer of \$123,000 from victim A.O.'s Equity Trust Company Traditional IRA account ending in 2024 to SHOOKS JP Morgan Chase account ending in 2256.

In violation of 15 U.S.C. §§ 78j(b), 78ff, 17 C.F.R. § 240.10b-5 and 19 U.S.C. § 2(b).

Dated this 11th day of January, 2018.

JOHN W. HUBER
United States Attorney


RUTH HACKFORD-PEER
Assistant United States Attorneys