

2015 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
01/08/15	James F. Crawford And Neal M. Woodard	SEC-2014-00050	Other Orders
01/27/15	Waba Grill Franchise Corporation And Eric S. Lee	SEC-2014-00052	Settlement Order
01/28/15	Eugen Macovei And Re\$OI, Llc	SEC-2014-00030	Rule To Show Cause
01/30/15	J.W. Korth & Company, Lp	SEC-2014-00045	Settlement Order
02/11/15	Robert Allan Sigleer	SEC-2012-00046	Judgment Order
02/23/15	Eddie J. Ward, Sr. And The New Dimension Group, Llc	SEC-2010-00003	Judgment Order
02/25/15	Roger Odell Hudspeth Dominion Investment Advisors, Llc	SEC-2014-00031	Rule To Show Cause
03/11/15	Eugen Macovei And Re\$OI, Llc	SEC-2014-00030	Rule To Show Cause
03/19/15	Jessalynn & Company, Llc D/B/A Pole Pressure And Jessalynn M. Medairy	SEC-2014-00019	Final Order
03/20/15	Adam Eric Campbell	SEC-2014-00016	Final Order
03/25/15	Benoit Brookens, Iii	SEC-2012-00017	Other Orders
03/27/15	C & C Franchising, Inc. D/B/A Jani-King Of Hampton Roads, Jani-King Of Richmond	SEC-2015-00008	Settlement Order
04/28/15	Royal Alliance Associates	SEC-2014-00039	Other Orders
04/30/15	Harold C. Dill	SEC-2014-00022	Settlement Order
05/05/15	Michael Peter Binetti	SEC-2015-00016	Settlement Order
05/22/15	Benoit Brookens, Iii	SEC-2012-00017	Judgment Order
06/03/15	Craig Madans And Hocoac Franchising Company, Llc	SEC-2014-00005	Rule To Show Cause
06/04/15	Royal Wealth Management, Inc.	SEC-2013-00013	Final Order
06/04/15	Elite Sports Enterprises, Inc., William John Schmelz, Iii And Blake Sonnek-Schmelz	SEC-2015-00012	Settlement Order
06/09/15	Gerald Dewitt	SEC-2010-00085	Final Order
06/18/15	Home Video Franchise Corporation	SEC-2012-00052	Final Order
06/26/15	Tma Franchise Systems, Inc. D/B/A The Mosquito Authority And Joseph D. Osborne	SEC-2015-00002	Settlement Order
07/01/15	Daryl Gene Bank, Et Al.	SEC-2015-00020	Other Orders
07/01/15	Thomas Edward Kenney	SEC-2015-00029	Settlement Order
07/06/15	Sherri'S Fun Foods, Inc. D/B/A Sherri'S Crab Cakes And Keith R. Behney	SEC-2015-00009	Settlement Order
07/13/15	Steven K. Morales	SEC-2010-00061	Final Order
07/22/15	Frank Y. Smiley	SEC-2014-00033	Final Order
08/03/15	Michael W. Ricciardelli, Ii	SEC-2012-00001	Settlement Order
08/17/15	Manhattan Pizza Company, Llc Tanaz, Llc D/B/A Luv'Nberry And Jack G. Azar	SEC-2014-00018	Final Order
08/19/15	Daryl Gene Bank, Et Al.	SEC-2015-00020	Consent Order
09/08/15	Daryl Gene Bank, Et Al.	SEC-2015-00020	Other Orders
09/11/15	Wells Fargo Advisors, Llc	SEC-2014-00035	Settlement Order
09/21/15	Eugen Macovei And Re\$OI, Llc	SEC-2014-00030	Judgment Order
10/05/15	Suk Ku Lim	SEC-2015-00035	Settlement Order
10/16/15	Craig Madans And Hocoac Franchising Co., Llc	SEC-2014-00005	Settlement Order
10/19/15	Wells Fargo Advisors, Llc	SEC-2014-00035	Final Order
10/27/15	Citigroup Global Markets, Inc.	SEC-2015-00034	Consent Order

2014 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
01/22/2014	Chancellor'S Pizza International, Inc.	SEC-2013-00007	Final Order
02/25/2014	Fintegra, Llc	SEC-2011-00049	Settlement Order
02/27/2014	Anthony John Carrea	SEC-2002-00056	Final Order
02/27/2014	Senior Retirement Services, Inc.	SEC-2002-00057	Final Order
03/12/2014	Mullins Investment Services, Llc D/B/A Piedmont Wealth Management	SEC-2014-00006	Settlement Order
03/13/2014	Results Tax Liens Management, Llc, Result Auctions, Llc, Clifton Ray Kaderli, Greg A. Butcher, And Adolf Crosby Wood	SEC-2013-00011	Settlement Order
03/13/2014	Mark D. Kinser	SEC-2014-00009	Settlement Order
03/13/2014	James D. Oliver	SEC-2014-00011	Settlement Order
04/01/2014	Hernando Chovil	SEC-2011-00046	Judgment Order
04/01/2014	Alan T. Lane	SEC-2013-00041	Other Orders
04/02/2014	Sharkey'S Cuts For Kids International Co., Llc And Scott Sharkey	SEC-2014-00003	Settlement Order
04/22/2014	Veritrax Corporation And Dale Toler	SEC-2011-00006	Other Orders
05/12/2014	Bio-Fuel Development Company, Llc And Richard W. Starnes	SEC-2013-00042	Settlement Order
05/14/2014	Fintegra, Llc	SEC-2011-00049	Final Order
05/14/2014	Brickhouse Cardio Club, Inc. F/K/A Sprouse Fitness, Llc And Victor Sprouse	SEC-2014-00014	Rule To Show Cause
06/03/2014	Independent Financial Group, Llc	SEC-2013-00029	Settlement Order
06/11/2014	Sharkey'S Cuts For Kids International Co., Llc And Scott Sharkey	SEC-2014-00003	Final Order
06/23/2014	Pacific West Securities, Inc.	SEC-2014-00012	Settlement Order
06/23/2014	Robert Russell Grimes	SEC-2014-00015	Settlement Order
06/24/2014	Adam Eric Campbell	SEC-2014-00016	Settlement Order
07/07/2014	Frank Y. Smiley	SEC-2014-00033	Settlement Order
07/15/2014	Brickhouse Cardio Club, Inc. F/K/A Sprouse Fitness, Llc And Victor Sprouse	SEC-2014-00014	Settlement Order
07/15/2014	Heritage Financial Systems, Inc. And Brian K. Lureen	SEC-2013-00023	Final Order
07/15/2014	Mark D. Kinser	SEC-2014-00009	Final Order
07/15/2014	George K. Tuma - Settlement Order	SEC-2013-00042	Settlement Order
07/16/2014	Restoration 1 Franchise Holding, Llc And Andor Kovacs	SEC-2014-00028	Settlement Order
07/16/2014	J. P. Morgan Securities, Llc	SEC-2014-00027	Consent Order
07/21/2014	Creative Concepts Investments, Inc. And Gregory L. Doctor	SEC-2011-00025	Judgment Order
07/22/2014	Sprouse Fitness, Llc And Victor Sprouse	SEC-2012-00005	Final Order
07/23/2014	Diveley Lind & Associates, Llc	SEC-2014-00036	Other Orders
07/31/2014	Alexander Perry Corporation And Bryan A. Perry	SEC-2013-00027	Final Order
07/31/2014	Restoration 1 Franchise Holding, Llc And Andor Kovacs	SEC-2014-00028	Final Order
08/21/2014	Urban Bar-B-Que Company And David J. Calkins	SEC-2014-00032	Settlement Order
08/21/2014	Bio-Fuel Development Company, Llc And Richard W. Starnes	SEC-2013-00042	Final Order
09/16/2014	Midatlantic Ira, Llc	SEC-2014-00037	Settlement Order
09/26/2014	Paul W. Souder - Order	SEC-2013-00035	Other Orders
09/26/2014	Roger Jay Mandigo	SEC-2009-00108	Final Order
09/29/2014	Richard L. Pennington, Jr.	SEC-2014-00023	Settlement Order
10/02/2014	James F. Crawford And Neal M. Woodard	SEC-2013-00003	Settlement Order
10/17/2014	Eddie J. Ward, Sr. And The New Dimension Group, Llc	SEC-2010-00003	Rule To Show Cause
10/20/2014	Robert Allan Sigleer	SEC-2012-00046	Rule To Show Cause

2014 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
10/22/2014	Foodnet Franchising, Inc.	SEC-2012-00025	Final Order
10/30/2014	Brickhouse Cardio Club, Inc. F/K/A Sprouse Fitness, Llc And Victor Sprouse	SEC-2014-00014	Final Order
11/07/2014	Jessalyann & Company, Llc D/B/A Pole Pressure And Jessalynn M. Medairy	SEC-2014-00019	Settlement Order
11/07/2014	Citigroup Global Markets, Inc.	SEC-2014-00034	Settlement Order
11/25/2014	Mr. Oil Saver, Llc And Christos M. Daskalakis	SEC-2014-00040	Settlement Order
11/26/2014	Urban Bar-B-Que Company And David J. Calkins	SEC-2014-00032	Final Order
11/26/2014	Manhattan Pizza Company, Llc, Tanaz, Llc D/B/A Luv'Nberry, And Jack G. Azar	SEC-2014-00018	Settlement Order
12/16/2014	Glenn Dillon	SEC-2010-00084	Settlement Order
12/16/2014	Benoit Brookens, Iii	SEC-2012-00017	Rule To Show Cause
12/16/2014	Royal Alliance Associates, Inc.	SEC-2014-00039	Other Orders
12/18/2014	Royal Alliance Associates, Inc.	SEC-2014-00039	Other Orders

2013 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
01/31/2013	Triune, Llc	SEC-2012-00027	Final Order
02/27/2013	Atlantic Sun Control, Inc. And Brien Looney	SEC-2012-00048	Settlement Order
03/12/2013	Tengfei, Inc., And Wei He Zhang	SEC-2012-00041	Rule To Show Cause
03/27/2013	Area Real Estate Investors, Llc, William Stanley Armstrong, And Area Finance, Llc	SEC-2009-00137	Final Order
04/03/2013	Creative Concepts Investments, Inc. And Gregory L. Doctor	SEC-2011-00025	Rule To Show Cause
04/09/2013	Ewc Franchise Group, Inc.	SEC-2013-00006	Settlement Order
04/12/2013	Go Mini'S Franchising, Llc, Go Mini'S, Llc, And William G. Norris, Sr.	SEC-2013-00004	Settlement Order
04/22/2013	Edward L. Pinney	SEC-2011-00044	Final Order
04/26/2013	Royal Wealth Management, Inc.	SEC-2013-00013	Settlement Order
05/17/2013	Veritrax Corporation, Dale Toler, And David Keith Freeman	SEC-2012-00045	Rule To Show Cause
05/22/2013	Summit Wealth Management, Llc	SEC-2010-00001	Final Order
06/06/2013	Alice Bayer Middleton And Cathedral Capital Management, Llc	SEC-2013-00018	Rule To Show Cause
06/07/2013	Lamken Enterprises, Inc.	SEC-2010-00080	Final Order
06/07/2013	Brooklyn Water Bagel Franchise Co., Inc. & Dr. Joseph West	SEC-2013-00002	Settlement Order
06/13/2013	Sprouse Fitness, Llc And Victor Sprouse	SEC-2012-00043	Final Order
06/17/2013	Don Brazelton And Brazelton Loan Partners	SEC-2013-00020	Rule To Show Cause
06/18/2013	Mark A. Gowin	SEC-2013-00019	Settlement Order
06/21/2013	Aamco Transmissions, Inc.	SEC-2012-00042	Settlement Order
07/08/2013	James F. Crawford And Neal M. Woodard	SEC-2013-00003	Other Orders
07/08/2013	James F. Crawford And Neal M. Woodard	SEC-2013-00003	Settlement Order
07/09/2013	Chanello'S Pizza International, Inc.	SEC-2013-00007	Settlement Order
07/11/2013	Aegis Capital Corporation	SEC-2013-00022	Rule To Show Cause
07/15/2013	Capital Business Consultants, Llc And Roberta Caputo	SEC-2012-00036	Settlement Order
08/01/2013	All About Honeymoons Franchise Corporation	SEC-2013-00012	Settlement Order
08/01/2013	Don Brazelton And Brazelton Loan Partners	SEC-2013-00020	Rule To Show Cause
08/06/2013	Brooklyn Water Bagel Franchise Co., Inc. And Dr. Joseph West	SEC-2013-00002	Final Order
08/15/2013	Veritrax Corporation, Dale Toler And David Keith Freeman	SEC-2012-00045	Other Orders
08/26/2013	Home Video Franchise Corporation	SEC-2012-00052	Settlement Order
08/30/2013	Heritage Financial Systems, Inc. And Brian K. Lureen	SEC-2013-00023	Settlement Order
09/06/2013	Harry T. Gaskin D/B/A G G & M Financial Goals	SEC-2011-00038	Final Order
09/09/2013	Samuel B. Jacobs, li	SEC-2009-00041	Judgment Order
09/09/2013	Alliance Financial Services Corporation	SEC-2009-00043	Judgment Order
09/12/2013	Jani-King Of Washington, D. C., Inc.	SEC-2012-00015	Settlement Order
09/12/2013	Aegis Capital Corporation	SEC-2013-00022	Settlement Order
09/13/2013	Alexander Perry Corporation And Bryan A. Perry	SEC-2013-00027	Settlement Order
09/19/2013	Dream Dinners, Inc.	SEC-2010-00032	Final Order
10/23/2013	Alice Bayer Middleton And Cathedral Capital Management, Llc	SEC-2013-00018	Judgment Order
10/29/2013	Any Test Franchising, Inc. And Joseph Neely	SEC-2013-00017	Settlement Order
10/29/2013	Capital Business Consultants, Llc And Roberta Caputo	SEC-2012-00036	Final Order
10/30/2013	Paul Souder	SEC-2013-00035	Consent Order

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Order Date	Defendant	Case Number	Order Type
11/12/2013	Legacy Estate Planning, Llc, Pamela S. Smith, And Timothy Patterson	SEC-2013-00025	Settlement Order
11/12/2013	Rbc Capital Markets, Llc	SEC-2013-00026	Consent Order
11/13/2013	Fundrise 1539 7th Street Nw, Llc	SEC-2013-00039	Other Orders
11/18/2013	Hernando Chovil	SEC-2011-00046	Rule To Show Cause
11/21/2013	Rebel Holiday	SEC-2007-00030	Judgment Order
11/21/2013	Foodnet Franchising, Inc.	SEC-2012-00025	Settlement Order
11/22/2013	Ubs Financial Services, Inc.	SEC-2013-00028	Consent Order
12/09/2013	Heritage Financial Systems, Inc. And Brian K. Lureen	SEC-2013-00023	Settlement Order
12/17/2013	Don Brazelton And Brazelton Loan Partners	SEC-2013-00020	Judgment Order
12/19/2013	Tengfei, Inc. And Wei He Zhang	SEC-2012-00041	Judgment Order

2012 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
01/10/2012	Edward L. Pinney	SEC-2011-00044	Settlement Order
01/17/2012	Xymogen, Inc. And Brian Blackburn	SEC-2011-00036	Final Order
01/19/2012	Valiant Health Care, Inc. D/B/A Accessible Home Health Care	SEC-2011-00037	Rule To Show Cause
01/20/2012	Glenn Dillon	SEC-2010-00084	Settlement Order
01/31/2012	Kid'S Closet Connection, Llc And Chris Smitka	SEC-2011-00029	Final Order
02/09/2012	Morgan Asset Management, Inc., And Morgan Keegan & Company, Inc.	SEC-2011-00035	Consent Order
03/05/2012	Global Retailers, Llc And Bill Bussey	SEC-2009-00118	Settlement Order
03/05/2012	Wee Little Arts, Inc. And Melissa Bradshaw	SEC-2012-00002	Settlement Order
03/05/2012	Tsang-Lang Liu	SEC-2012-00004	Settlement Order
03/14/2012	Window World, Inc.	SEC-2012-00007	Settlement Order
03/21/2012	Tsang-Lang Liu	SEC-2012-00004	Final Order
04/03/2012	Botj Investment Group, Inc.	SEC-2010-00082	Final Order
04/11/2012	Sprouse Fitness, Llc And Victor Sprouse	SEC-2012-00005	Settlement Order
04/12/2012	Eddie J. Ward, Sr. And The New Dimension Group, Llc	SEC-2010-00003	Settlement Order
04/19/2012	Area Real Estate Investors, Llc, William Stanley Armstrong, And Area Finance, Llc	SEC-2009-00137	Settlement Order
04/19/2012	Tecsec, Inc.	SEC-2010-00046	Final Order
04/19/2012	John R. Petty	SEC-2010-00047	Final Order
04/19/2012	Polk Run, Llc	SEC-2010-00048	Final Order
04/19/2012	Edward M. Scheidt	SEC-2010-00049	Final Order
04/19/2012	Carl Joseph Wack	SEC-2010-00051	Final Order
04/30/2012	Michael Miles	SEC-2008-00045	Other Orders
04/30/2012	Richard A. Mcgrath	SEC-2011-00055	Settlement Order
04/30/2012	Wee Little Arts, Inc. And Melissa Bradshaw	SEC-2012-00002	Final Order
04/30/2012	E*Trade Securities, Llc	SEC-2012-00006	Consent Order
05/04/2012	Gerald Dewitt	SEC-2010-00085	Settlement Order
05/11/2012	Merrill Lynch, Pierce, Fenner & Smith, Incorporated	SEC-2006-00070	Final Order
05/16/2012	Veritrax Corporation And Dale Toler	SEC-2011-00006	Judgment Order
06/07/2012	Paul Mann And Fetch! Pet Care, Inc.	SEC-2011-00013	Final Order
06/21/2012	Richard A. Mcgrath	SEC-2011-00055	Final Order
07/23/2012	William M. Somerindyke, Jr.	SEC-2011-00010	Other Orders
07/23/2012	Anita C. Tribble	SEC-2011-00011	Other Orders
08/21/2012	Firm Grip Business Management And Holding Company, Llc	SEC-2007-00072	Settlement Order
08/21/2012	Charles Elston	SEC-2008-00063	Settlement Order
08/21/2012	Firm Grip Financial Services, Llc	SEC-2008-00064	Settlement Order
09/07/2012	Evaporite Systems, Inc. And Darrin Haslem	SEC-2012-00024	Settlement Order
10/01/2012	William M. Somerindyke, Jr.	SEC-2011-00010	Judgment Order
10/01/2012	Anita C. Tribble	SEC-2011-00011	Judgment Order
10/17/2012	G&G, Llc	SEC-2008-00006	Judgment Order
10/17/2012	D. Trent Gourley	SEC-2008-00007	Judgment Order
10/23/2012	Bankers Life And Casualty Company And Blc Financial Services, Inc.	SEC-2012-00028	Consent Order
10/26/2012	Creative Concepts Investments, Inc. And Gregory L. Doctor	SEC-2011-00025	Rule To Show Cause
11/05/2012	Sprouse Fitness, Llc And Victor Sprouse	SEC-2012-00043	Settlement Order

2012 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
11/06/2012	G&G, Llc	SEC-2008-00006	Other Orders
11/06/2012	D. Trent Gourley	SEC-2008-00007	Other Orders
11/15/2012	Uvest Financial Services Group, Inc.	SEC-2012-00029	Consent Order
11/16/2012	Veritrax Corporation, Dale Toler And David Keith Freeman	SEC-2012-00045	Rule To Show Cause
11/26/2012	Triune, Llc	SEC-2012-00027	Settlement Order
11/26/2012	Proequities, Inc.	SEC-2012-00030	Consent Order
11/29/2012	G&G, Llc - Order On Reconsideration	SEC-2008-00006	Other Orders
11/29/2012	D. Trent Gourley	SEC-2008-00007	Other Orders
12/07/2012	American Hockey Denver, Llc, Rams Associates, Lp, And John Charles Sabo	SEC-2011-00009	Final Order

2011 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
01/04/2011	Pet Butler Franchise Services Corp. And Matt Boswell	SEC-2009-00033	Final Order
01/05/2011	Roger Jay Mandigo	SEC-2009-00108	Settlement Order
01/06/2011	Scott & Stringfellow, Llc And Charles Palmer Peebles, Jr.	SEC-2010-00091	Settlement Order
01/10/2011	Stephen James Kaufmann	SEC-2007-00079	Rule To Show Cause
01/12/2011	Entity Private Held Mortgages, Llc	SEC-2008-00043	Judgment Order
01/12/2011	Steven K. Morales	SEC-2010-00061	Settlement Order
01/20/2011	Firm Grip Business Management And Holding Company, Llc	SEC-2007-00072	Settlement Order
01/20/2011	Rose Elston	SEC-2008-00062	Settlement Order
01/20/2011	Charles Elston	SEC-2008-00063	Settlement Order
01/20/2011	Firm Grip Financial Services, Llc	SEC-2008-00064	Settlement Order
01/21/2011	Goldman, Sachs & Co.	SEC-2010-00056	Consent Order
01/24/2011	Madeline Fortunato	SEC-2008-00065	Final Order
01/31/2011	Thomas R. May	SEC-2009-00052	Final Order
01/31/2011	Sweet Seats Llc	SEC-2009-00099	Final Order
02/01/2011	Artemis Vision Fund, Inc.	SEC-2005-00012	Other Orders
02/01/2011	Artemis Strategy Fund, Inc.	SEC-2005-00013	Other Orders
02/01/2011	Thomas Trexler	SEC-2005-00029	Other Orders
02/01/2011	Rebel Holiday	SEC-2006-00021	Other Orders
02/08/2011	Andrew Pilz And Tina Pilz D/B/A Skin Appeal Day Spa, Inc.	SEC-2009-00114	Rule To Show Cause
02/08/2011	Window Gang Ventures Corporation	SEC-2010-00040	Final Order
02/08/2011	Timothy Mccullen	SEC-2010-00043	Final Order
02/17/2011	Donna P. Mccoy	SEC-2009-00093	Settlement Order
02/17/2011	H. Pate Mccoy	SEC-2009-00094	Settlement Order
02/17/2011	Donna P. Mccoy And H. Pate Mccoy D/B/A Porta Office Cyber Cafe, Llc	SEC-2009-00095	Settlement Order
02/17/2011	Donna P. Mccoy And H. Pate Mccoy D/B/A Morgan Communications Media, Inc.	SEC-2009-00097	Settlement Order
02/22/2011	Thomas J. Wiley, Sr. And Numatex, Inc.	SEC-2008-00114	Rule To Show Cause
03/03/2011	Andrew Pilz And Tina Pilz D/B/A Skin Appeal Day Spa, Inc.	SEC-2009-00114	Rule To Show Cause
03/03/2011	Robert Clifford Ii And Aurora Financial, Llc	SEC-2011-00002	Settlement Order
03/07/2011	Michael Miles	SEC-2008-00045	Rule To Show Cause
03/18/2011	Byron Hale Delavan, Jr.	SEC-2007-00067	Judgment Order
03/18/2011	American Recovery Services, Llc	SEC-2009-00030	Judgment Order
03/23/2011	William M. Somerindyke, Jr.	SEC-2011-00010	Rule To Show Cause
03/23/2011	Anita C. Tribble	SEC-2011-00011	Rule To Show Cause
03/31/2011	Julius Everett Johnson	SEC-2009-00075	Judgment Order
03/31/2011	Walter Ray Reinhardt	SEC-2009-00076	Judgment Order
03/31/2011	Benefit Contract Administrators, Inc.	SEC-2009-00077	Judgment Order
03/31/2011	Mhc Linen Services, Llc	SEC-2009-00078	Judgment Order
03/31/2011	River City Cleaners, Llc	SEC-2009-00079	Judgment Order
03/31/2011	Roberts Awning Restoration And Renewal, Llc F/K/A Roberts Awning, Llc	SEC-2009-00080	Judgment Order
03/31/2011	Julius Everett Johnson D/B/A Benefit Contract Administrators, Llc	SEC-2009-00082	Judgment Order
03/31/2011	First Fidelity Financial Of Richmond, Llc	SEC-2009-00105	Judgment Order
03/31/2011	Capital Investor Group, Inc.	SEC-2009-00106	Judgment Order



2011 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
03/31/2011	Commonwealth Assurity, Llc	SEC-2009-00107	Judgment Order
03/31/2011	Mid Atlantic Insurance Agencies, Inc.	SEC-2009-00115	Judgment Order
03/31/2011	Fic Financial Group, Inc.	SEC-2009-00116	Judgment Order
03/31/2011	Livingwell Healthcare Of Virginia, Llc	SEC-2009-00117	Judgment Order
03/31/2011	Everett Awnings, Inc. D/B/A Roberts Awning	SEC-2009-00121	Judgment Order
03/31/2011	Norvell Awning Group, Llc	SEC-2010-00019	Judgment Order
03/31/2011	Julius Everett Johnson D/B/A North Carolina Group Benefits, Inc.	SEC-2010-00057	Judgment Order
03/31/2011	Public Benefit Consultants, Inc.	SEC-2010-00058	Judgment Order
04/06/2011	Washington Square Securities, Inc.	SEC-2008-00030	Final Order
04/06/2011	Davenport & Company, Llc	SEC-2010-00062	Final Order
04/08/2011	Stephen James Kaufmann	SEC-2007-00079	Final Order
04/08/2011	Ashbridge Investment Management, Llc	SEC-2011-00014	Settlement Order
04/11/2011	Summit Wealth Management, Llc	SEC-2010-00001	Settlement Order
04/13/2011	Robert Clifford Ii And Aurora Financial, Llc	SEC-2011-00002	Final Order
04/21/2011	Area Real Estate Investors, Llc, William Stanley Armstrong, Area Finance, Llc, 1116 Florida Avenue Ne Lp, And 1118 Florida Avenue Ne Lp	SEC-2009-00137	Rule To Show Cause
04/27/2011	Michael Miles	SEC-2008-00045	Rule To Show Cause
05/05/2011	Scott & Strongfellow And Charles P. Peebles, Jr.	SEC-2010-00091	Final Order
05/06/2011	Julius Everett Johnson	SEC-2009-00075	Other Orders
05/06/2011	Walter Ray Reinhardt	SEC-2009-00076	Other Orders
05/06/2011	Benefit Contract Administrators, Inc.	SEC-2009-00077	Other Orders
05/06/2011	Mhc Linen Services, Llc	SEC-2009-00078	Other Orders
05/06/2011	River City Cleaners, Llc	SEC-2009-00079	Other Orders
05/06/2011	Roberts Awning Restoration And Renewal, Llc, F/K/A Roberts Awning, Llc	SEC-2009-00080	Other Orders
05/06/2011	Julius Everett Johnson D/B/A Benefit Contract Administrators, Llc	SEC-2009-00082	Other Orders
05/06/2011	First Fidelity Financial Of Richmond, Llc	SEC-2009-00105	Other Orders
05/06/2011	Commonwealth Assurity, Llc	SEC-2009-00107	Other Orders
05/06/2011	Mid Atlantic Insurance Agencies, Inc.	SEC-2009-00115	Other Orders
05/06/2011	Fic Financial Group, Inc.	SEC-2009-00116	Other Orders
05/06/2011	Livingwell Healthcare Of Virginia, Llc	SEC-2009-00117	Other Orders
05/06/2011	Norvell Awning Group, Llc	SEC-2010-00019	Other Orders
05/06/2011	Julius Everett Johnson D/B/A North Carolina Group Benefits, Inc.	SEC-2010-00057	Other Orders
05/06/2011	Public Benefit Consultants, Inc.	SEC-2010-00058	Other Orders
05/13/2011	J. Blaine Saltzer D/B/A Retirement Investment Counseling	SEC-2010-00090	Settlement Order
05/19/2011	Great American Advisors, Inc.	SEC-2010-00054	Rule To Show Cause
05/19/2011	Veritrax Corporation And Dale Toler	SEC-2011-00006	Rule To Show Cause
05/31/2011	The Woodland, Inc.	SEC-2011-00012	Settlement Order
06/14/2011	Exmovere Holdings, Inc.	SEC-2011-00018	Consent Order
06/15/2011	Paul Mann And Fetch! Pet Care, Inc.	SEC-2011-00013	Settlement Order
07/07/2011	Boardwalk Finance Corporation	SEC-2007-00058	Final Order
07/08/2011	Andrew Pilz And Tina Pilz D/B/A Skin Appeal Day Spa, Inc.	SEC-2009-00114	Final Order

2011 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
07/11/2011	Peter Frese, Jr. And Stratus Franchising, Llc	SEC-2011-00008	Settlement Order
07/22/2011	Leland O. Stevens	SEC-2010-00053	Settlement Order
08/15/2011	David Krehbiel And Lamken Enterprises, Inc.	SEC-2010-00080	Settlement Order
08/17/2011	Lamken Enterprises, Inc.	SEC-2010-00080	Settlement Order
08/23/2011	American Hockey Denver, Llc, Rams Associates, Lp, And John Charles Sabo	SEC-2011-00009	Rule To Show Cause
08/24/2011	Global Retailers, Llc And Bill Bussey	SEC-2009-00118	Rule To Show Cause
08/24/2011	The Woodland, Inc.	SEC-2011-00012	Final Order
09/12/2011	Great American Advisors, Inc.	SEC-2010-00054	Settlement Order
10/03/2011	Veritrax Corporation And Dale Toler	SEC-2011-00006	Other Orders
10/06/2011	The Buffalo Extension, Llp And Richard F. Reynolds	SEC-2011-00023	Settlement Order
10/21/2011	Thomas J. Wiley, Sr., And Numatex, Inc.	SEC-2008-00114	Final Order
11/10/2011	Botj Investment Group, Inc.	SEC-2010-00082	Settlement Order
11/14/2011	Global Retailers, Llc And Bill Bussey	SEC-2009-00118	Consent Order
11/15/2011	Harry T. Gaskin D/B/A G G & M Financial Goals	SEC-2011-00038	Settlement Order
11/15/2011	Raymond James & Associates, Inc., And Raymond James Financial Services, Inc.	SEC-2011-00039	Consent Order
11/18/2011	Xymogen, Inc. And Brian Blackburn	SEC-2011-00036	Settlement Order
11/21/2011	G&G, Llc	SEC-2008-00006	Other Orders
11/21/2011	D. Trent Gourley	SEC-2008-00007	Other Orders
11/22/2011	Tecsec, Inc.	SEC-2010-00046	Settlement Order
11/22/2011	John R. Petty	SEC-2010-00047	Settlement Order
11/22/2011	Polk Run, Llc	SEC-2010-00048	Settlement Order
11/22/2011	Edward M. Scheidt	SEC-2010-00049	Settlement Order
11/22/2011	Carl Joseph Wack	SEC-2010-00051	Settlement Order
11/22/2011	Nai Bluestone Real Estate Capital, Llc	SEC-2011-00053	Settlement Order
12/13/2011	Hernando Chovil	SEC-2011-00046	Settlement Order
12/20/2011	American Hockey Denver, Llc, Rams Associates, Lp And John Charles Sabo	SEC-2011-00009	Settlement Order
12/21/2011	Kid'S Closet Connection, Llc And Chris Smitka	SEC-2011-00029	Settlement Order

2010 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
01/06/2010	Scott & Stringfellow, Llc	SEC-2009-00112	Settlement Order
01/08/2010	Steven Everhart And The Dentist'S Choice, Inc.	SEC-2009-00085	Final Order
01/12/2010	Texas Bar-B-Q Factory, Inc. And Michael Yatco	SEC-2009-00028	Final Order
01/19/2010	Terry Black D/B/A Phoenix Technologies Llc	SEC-2009-00055	Judgment Order
02/08/2010	Julius Everett Johnson	SEC-2009-00075	Rule To Show Cause
02/08/2010	Walter Ray Reinhardt	SEC-2009-00076	Rule To Show Cause
02/08/2010	Benefit Contract Administrators, Inc.	SEC-2009-00077	Rule To Show Cause
02/08/2010	Mhc Linen Services, Llc	SEC-2009-00078	Rule To Show Cause
02/08/2010	River City Cleaners, Llc	SEC-2009-00079	Rule To Show Cause
02/08/2010	Roberts Awning Restoration And Renewal, Llc F/K/A Roberts Awning, Llc	SEC-2009-00080	Rule To Show Cause
02/08/2010	Julius Everett Johnson D/B/A Benefit Contract Administrators, Llc	SEC-2009-00082	Rule To Show Cause
02/08/2010	First Fidelity Financial Of Richmond, Llc	SEC-2009-00105	Rule To Show Cause
02/08/2010	Capital Investor Group, Inc.	SEC-2009-00106	Rule To Show Cause
02/08/2010	Commonwealth Assurity, Llc	SEC-2009-00107	Rule To Show Cause
02/08/2010	Mid Atlantic Insurance Agencies, Inc.	SEC-2009-00115	Rule To Show Cause
02/08/2010	Fic Financial Group, Inc.	SEC-2009-00116	Rule To Show Cause
02/08/2010	Livingwell Healthcare Of Virginia, Llc	SEC-2009-00117	Rule To Show Cause
02/08/2010	Everett Awnings, Inc. D/B/A Roberts Awning	SEC-2009-00121	Rule To Show Cause
02/09/2010	Quisqueya Dominican Beauty Salon, Llc, And Dominican Styles V. Johan And Jessie, Llc	SEC-2009-00051	Final Order
02/16/2010	Investology, Inc.	SEC-2008-00052	Final Order
02/16/2010	Log Cabin Bbq, Llc	SEC-2009-00088	Rule To Show Cause
02/16/2010	Frank W. Burks	SEC-2010-00007	Rule To Show Cause
02/22/2010	Unity Investment, Inc.	SEC-2008-00071	Final Order
02/26/2010	Julius Everett Johnson	SEC-2009-00075	Other Orders
02/26/2010	Walter Ray Reinhardt	SEC-2009-00076	Other Orders
02/26/2010	Benefit Contract Administrators, Inc.	SEC-2009-00077	Other Orders
02/26/2010	Mhc Linen Services, Llc	SEC-2009-00078	Other Orders
02/26/2010	River City Cleaners, Llc	SEC-2009-00079	Other Orders
02/26/2010	Roberts Awning Restoration And Renewal, Llc, F/K/A Roberts Awning, Llc	SEC-2009-00080	Other Orders
02/26/2010	Julius Everett Johnson D/B/A Benefit Contract Administrators, Llc	SEC-2009-00082	Other Orders
02/26/2010	First Fidelity Financial Of Richmond, Llc	SEC-2009-00105	Other Orders
02/26/2010	Capital Investor Group, Inc.	SEC-2009-00106	Other Orders
02/26/2010	Commonwealth Assurity, Llc	SEC-2009-00107	Other Orders
02/26/2010	Mid Atlantic Insurance Agencies, Inc.	SEC-2009-00115	Other Orders
02/26/2010	Fic Financial Group, Inc.	SEC-2009-00116	Other Orders
02/26/2010	Livingwell Healthcare Of Virginia, Llc	SEC-2009-00117	Other Orders
02/26/2010	Everett Awnings, Inc. D/B/A Roberts Awning	SEC-2009-00121	Other Orders
03/09/2010	Ameriprise Financial Services, Inc.	SEC-2007-00083	Final Order
03/10/2010	Soccertots, Incorporated	SEC-2009-00123	Settlement Order
03/16/2010	Samuel B. Jacobs, li	SEC-2009-00041	Rule To Show Cause
03/16/2010	Alliance Financial Services Corporation	SEC-2009-00043	Rule To Show Cause

2010 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
03/19/2010	Edward D. Jones & Co., L.P.	SEC-2007-00021	Settlement Order
03/25/2010	Dennis Michael Butts, Et Al.	SEC-2010-00026	Rule To Show Cause
04/06/2010	The Senior'S Choice, Inc. And Steven Everhart	SEC-2009-00135	Settlement Order
04/09/2010	Sedona Oil & Gas Corporation And Kenneth W. Crumbley	SEC-2009-00124	Settlement Order
04/15/2010	Cm Franchise Systems, Llc D/B/A Tacone Flavor Grill	SEC-2010-00004	Settlement Order
04/16/2010	Deutsche Bank Securities, Inc.	SEC-2009-00074	Consent Order
04/16/2010	Td Ameritrade, Inc.	SEC-2009-00110	Consent Order
04/21/2010	Capitol Securities Management, Inc.	SEC-2009-00113	Settlement Order
04/26/2010	Terry Black D/B/A Phoenix Technologies, Llc	SEC-2009-00055	Final Order
04/30/2010	Aefc, Inc.	SEC-2010-00018	Settlement Order
04/30/2010	Robert Christian	SEC-2010-00028	Settlement Order
05/05/2010	Trust Alliance, The Real Estate Investment Company, Llc, Trust Alliance Savings, Llc, And Joerg Meyer	SEC-2006-00067	Final Order
05/06/2010	Life Partners, Inc.	SEC-2010-00020	Settlement Order
05/17/2010	Jonathan Keese, Et Al.	SEC-2008-00041	Rule To Show Cause
05/17/2010	Entity Private Held Mortgages, Llc	SEC-2008-00043	Rule To Show Cause
05/18/2010	Jpmorgan Chase & Co.	SEC-2009-00125	Consent Order
05/19/2010	Ubs Securities, Llc And Ubs Financial Services Inc.	SEC-2010-00029	Consent Order
06/01/2010	Dennis Michael Butts	SEC-2006-00019	Other Orders
06/01/2010	Dmb Sports Property, Et Al.	SEC-2006-00020	Other Orders
06/01/2010	Dream Dinners, Inc.	SEC-2010-00032	Settlement Order
06/01/2010	Douglas Aquatics, Inc.	SEC-2010-00033	Settlement Order
06/02/2010	Leland Otto Stevens	SEC-2010-00053	Rule To Show Cause
06/02/2010	Great American Advisors, Inc.	SEC-2010-00054	Rule To Show Cause
06/03/2010	Julius Everett Johnson	SEC-2009-00075	Rule To Show Cause
06/03/2010	Walter Ray Reinhardt	SEC-2009-00076	Rule To Show Cause
06/03/2010	Norvell Awning Group, Llc	SEC-2010-00019	Rule To Show Cause
06/03/2010	Julius Everett Johnson D/B/A North Carolina Group Benefits, Inc.	SEC-2010-00057	Rule To Show Cause
06/03/2010	Public Benefit Consultants, Inc.	SEC-2010-00058	Rule To Show Cause
06/09/2010	The Glove Lady, Llc	SEC-2009-00119	Rule To Show Cause
06/09/2010	Robert Teague	SEC-2010-00052	Rule To Show Cause
06/15/2010	Play N Trade Franchise, Inc.	SEC-2010-00030	Settlement Order
06/17/2010	Andrew Pilz And Tina Pilz D/B/A Skin Appeal Day Spa, Inc.	SEC-2009-00114	Settlement Order
06/17/2010	Soccertots, Incorporated	SEC-2009-00123	Final Order
06/17/2010	Life Partners, Inc.	SEC-2010-00020	Final Order
06/21/2010	Tengfei, Inc.	SEC-2009-00002	Judgment Order
06/21/2010	Wei He Zhang	SEC-2009-00050	Judgment Order
06/29/2010	Crystal G. Speeks-Strohecker D/B/A Credit Medic Financial Services, Inc.	SEC-2010-00037	Rule To Show Cause
07/01/2010	Michael Miles	SEC-2008-00045	Settlement Order
07/02/2010	Edward D. Jones & Co., L.P.,	SEC-2007-00021	Final Order
07/02/2010	Jay P. Mechling	SEC-2010-00038	Final Order
07/13/2010	Cellairis Franchise, Inc. And Kostantinos R. Skouras	SEC-2010-00006	Settlement Order
07/13/2010	Play N Trade Franchise, Inc.	SEC-2010-00030	Final Order
08/03/2010	Cm Franchise Systems, Llc D/B/A Tacone Flavor Grill	SEC-2010-00004	Final Order

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Order Date	Defendant	Case Number	Order Type
08/04/2010	Morgan Stanley & Co., Incorporated	SEC-2009-00120	Consent Order
08/06/2010	Charles M. Kelly, Jr.	SEC-2007-00022	Settlement Order
08/06/2010	Glendle Ray Johnston	SEC-2008-00033	Rule To Show Cause
08/06/2010	Gratian Michael Yatsevich	SEC-2010-00044	Rule To Show Cause
08/06/2010	The George Washington National Memorial Cemetery And Garden, Llc	SEC-2010-00045	Rule To Show Cause
08/19/2010	Fish On Bait & Tackle, Inc. V. Reginald B. Cheatham, Sr.	SEC-2009-00070	Final Order
08/19/2010	Crystal G. Speeks-Strohecker D/B/A Credit Medic Financial Services, Inc.	SEC-2010-00037	Rule To Show Cause
08/20/2010	Spa' Ladi-Da Franchise, Inc.	SEC-2009-00068	Final Order
08/20/2010	Detra S. Jones	SEC-2009-00069	Final Order
08/26/2010	Vanessa G. Vergnetti	SEC-2010-00009	Settlement Order
08/26/2010	Sagebrush Treatment, Inc.	SEC-2010-00010	Settlement Order
08/26/2010	Scott M. Mccormick	SEC-2010-00059	Settlement Order
09/03/2010	Jonathan Keese	SEC-2008-00041	Rule To Show Cause
09/03/2010	Entity Professionals, Llc	SEC-2008-00042	Rule To Show Cause
09/03/2010	Entity Private Held Mortgages, Llc	SEC-2008-00043	Rule To Show Cause
09/03/2010	Entity Value Fund, Llc	SEC-2008-00044	Rule To Show Cause
09/03/2010	Technology Communication Management, Llc	SEC-2009-00036	Judgment Order
09/03/2010	Rawle Gerard Suite, A/K/A Gerard Suite, A/K/A Raul Jerard Anthony, A/K/A R.J. Anthony	SEC-2009-00037	Judgment Order
09/03/2010	Wells Fargo Investments, Llc	SEC-2010-00023	Consent Order
09/21/2010	Window Gang Ventures Corporation	SEC-2010-00040	Settlement Order
09/21/2010	Timothy Mccullen - Settlement Order	SEC-2010-00043	Settlement Order
09/22/2010	Global Retailers, Llc And Bill Bussey	SEC-2009-00118	Settlement Order
09/23/2010	Davenport & Company Llc	SEC-2010-00062	Settlement Order
09/24/2010	Sedona Oil & Gas Corporation And Kenneth W. Crumbley	SEC-2009-00124	Final Order
09/28/2010	Log Cabin Bbq, Llc	SEC-2009-00088	Final Order
09/28/2010	Frank W. Burks	SEC-2010-00007	Final Order
09/30/2010	Dennis Michael Butts, Dmb Sports Property, Et Al	SEC-2010-00026	Other Orders
10/07/2010	Dennis Michael Butts	SEC-2006-00019	Other Orders
10/07/2010	Dmb Sports Property, Et Al.	SEC-2006-00020	Other Orders
10/29/2010	Ubs Financial Services, Inc.	SEC-2010-00072	Settlement Order
10/29/2010	Mark Christopher Hughes	SEC-2010-00073	Settlement Order
11/10/2010	1st Equity International, A/K/A First Equity International, Inc. D/B/A Payday Loan Centers A/K/A Fei, Inc., Kestral Trust Limited, And Joseph R. Kingsley	SEC-1995-00025	Final Order
11/23/2010	The Glove Lady, Llc	SEC-2009-00119	Final Order
11/23/2010	Robert Teague	SEC-2010-00052	Final Order
12/07/2010	Crystal G. Speeks-Strohecker D/B/A Credit Medic Financial Services, Inc.	SEC-2010-00037	Judgment Order
12/08/2010	Dennis Michael Butts	SEC-2006-00019	Settlement Order
12/08/2010	Dmb Sports Property, Et Al.	SEC-2006-00020	Settlement Order
12/08/2010	Andrew Pilz And Tina Pilz D/B/A Skin Appeal Day Spa, Inc.	SEC-2009-00114	Rule To Show Cause
12/08/2010	Irving Vincent Boberski	SEC-2010-00075	Settlement Order
12/17/2010	Tengfei, Inc.	SEC-2009-00002	Judgment Order

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Order Date	Defendant	Case Number	Order Type
12/17/2010	Wei He Zhang	SEC-2009-00050	Judgment Order

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Order Date	Defendant	Case Number	Order Type
01/06/2009	H. Beck, Inc.	SEC-2007-00056	Final Order
01/09/2009	Tripp & Company, Inc.	SEC-2008-00097	Settlement Order
01/09/2009	Froots Franchising Companies, Inc.	SEC-2008-00105	Settlement Order
01/12/2009	Enstyle Wedding Designs International, Llc And Quanetta B. Lewis	SEC-2008-00116	Rule To Show Cause
01/20/2009	Lawrence Paul Driscoll	SEC-2008-00084	Judgment Order
01/27/2009	Wow Cafe And Wingery Franchising Account, Llc, Llc, J. Scott Ballard And Steven M. Ballard	SEC-2008-00089	Settlement Order
02/03/2009	Wow Cafe' And Wingery Franchising Account, Llc, J. Scott Ballard, And Steven M. Ballard	SEC-2008-00089	Final Order
02/03/2009	Eastcorp Business Investor Services, Llc	SEC-2008-00049	Rule To Show Cause
02/03/2009	Donald Clint Eastman	SEC-2008-00050	Rule To Show Cause
02/17/2009	I.D.A. Franchises, Inc. And Jeffrey C. Trice	SEC-2008-00100	Final Order
02/24/2009	Cb Tax Franchise Systems Lp	SEC-2008-00076	Rule To Show Cause
03/16/2009	Logical Fashion, Inc.	SEC-2005-00044	Final Order
03/16/2009	Logical Fashion Center Tysons Corner, Inc.	SEC-2007-00032	Final Order
03/16/2009	Thomas Trexler	SEC-2006-00030	Final Order
03/16/2009	Rebel Holiday	SEC-2006-00028	Final Order
03/19/2009	Victory Conference Center, Llc And L. Louise Lucas	SEC-2008-00025	Final Order
03/19/2009	Chancellorsville Financing, Inc.	SEC-2008-00009	Final Order
03/19/2009	Decker Equities, Lp	SEC-2008-00051	Final Order
03/19/2009	Paul Vincent Decker	SEC-2008-00008	Final Order
03/20/2009	Quanetta B. Lewis	SEC-2009-00026	Rule To Show Cause
03/20/2009	Randolph Ivey, Nabico Management Services, Inc., And Ricom Enterprizes, Inc.	SEC-2009-00006	Settlement Order
03/20/2009	Donald E. Quesenberry	SEC-2009-00008	Settlement Order
03/20/2009	Randolph Ivey, Nabico Management Services, Inc., And Ricom Enterprizes, Inc.	SEC-2009-00006	Settlement Order
03/20/2009	Donald E. Quesenberry	SEC-2009-00008	Settlement Order
03/24/2009	Enstyle Wedding Designs International, Llc And Quanetta B. Lewis	SEC-2008-00116	Final Order
03/25/2009	Arthur S. Brinkley	SEC-2009-00021	Settlement Order
03/31/2009	Original Minded U & Charles E. Johnson, Sr.	SEC-2008-00085	Settlement Order
03/31/2009	Nettalon Security Systems, Inc.	SEC-2008-00096	Settlement Order
04/08/2009	Adult Entertainment Capital, Inc. F/K/A Zealous Trading Group, Inc.	SEC-2008-00106	Settlement Order
04/08/2009	Samuel T. Price, Jr.	SEC-2008-00090	Settlement Order
04/16/2009	David Feuerborn	SEC-2009-00031	Rule To Show Cause
04/16/2009	Ess Environmental, Inc.	SEC-2008-00086	Rule To Show Cause
04/29/2009	Metro Dream Homes Of Fredericksburg, Llc	SEC-2007-00064	Settlement Order
04/29/2009	Metro Dream Homes, Llc	SEC-2007-00059	Settlement Order
04/29/2009	Metropolitan Grapevine, Llc	SEC-2007-00063	Settlement Order
04/29/2009	Pos Dream Homes, Llc	SEC-2008-00005	Settlement Order
04/30/2009	Byron Hale Delavan , Jr.	SEC-2007-00067	Rule To Show Cause
04/30/2009	All About Honeymoons Franchise Corporation And Gregory Strobach	SEC-2008-00099	Final Order

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Order Date	Defendant	Case Number	Order Type
04/30/2009	American Recovery Services, Llc	SEC-2009-00030	Rule To Show Cause
05/04/2009	Griswold Special Care, Inc.	SEC-2008-00036	Rule To Show Cause
05/04/2009	Kent C. Griswold	SEC-2009-00032	Rule To Show Cause
05/07/2009	Arthur L. Bailey	SEC-2008-00098	Final Order
05/07/2009	Madeline Fortunato	SEC-2008-00065	Settlement Order
05/07/2009	Stifel, Nicolaus & Company, Inc.	SEC-2008-00095	Rule To Show Cause
05/08/2009	Jordan M. Roman	SEC-2006-00044	Final Order
05/20/2009	The Filta Group, Inc.	SEC-2009-00034	Settlement Order
05/22/2009	Stephen James Kaufmann	SEC-2007-00079	Final Order
05/22/2009	Byron Hale Delavan, Jr.	SEC-2007-00067	Other Orders
05/22/2009	American Recovery Services, Llc	SEC-2009-00030	Other Orders
05/27/2009	Gordon Hammond	SEC-2009-00007	Settlement Order
06/05/2009	Quanetta B. Lewis	SEC-2009-00026	Final Order
06/05/2009	Griswold Special Care, Inc.	SEC-2008-00036	Settlement Order
06/05/2009	Kent C. Griswold	SEC-2009-00032	Settlement Order
06/08/2009	Tengfei, Inc.	SEC-2009-00002	Rule To Show Cause
06/08/2009	Wei He Zheng	SEC-2009-00050	Rule To Show Cause
06/10/2009	Stifel, Nicolaus & Company, Inc.	SEC-2008-00095	Other Orders
06/19/2009	Quisqueya Dominican Beauty Salon, Llc And Dominican Styles V. Johan And Jessie, Llc	SEC-2009-00051	Other Orders
06/22/2009	Griswold Special Care, Inc.	SEC-2008-00036	Final Order
06/22/2009	Kent C. Griswold	SEC-2009-00032	Final Order
06/23/2009	Randolph Ivey, Nabico Management Services, Inc. And Ricom Enterprizes Inc.	SEC-2009-00006	Final Order
06/23/2009	Original Minded U And Charles E. Johnson, Sr.	SEC-2008-00085	Final Order
06/23/2009	Crosby T. Bonner	SEC-2002-00043	Settlement Order
06/23/2009	Crosby T. Bonner D/B/A Lif, Llc	SEC-2002-00042	Settlement Order
06/23/2009	Cb Tax Franchise Systems Lp	SEC-2008-00076	Settlement Order
06/23/2009	Cb Tax Franchise Systems, Lp	SEC-2008-00076	Other Orders
06/23/2009	Thomas J. Wiley, Sr. And Numatex, Inc.	SEC-2008-00114	Settlement Order
06/23/2009	Joseph R. Dane	SEC-2009-00004	Settlement Order
06/25/2009	Kaleidoscoops, Inc.	SEC-2009-00057	Settlement Order
07/08/2009	Pet Butler Franchise Services Corp. And Matt Boswell	SEC-2009-00033	Settlement Order
07/10/2009	Earthwalk Communications, Inc.	SEC-2005-00068	Final Order
07/10/2009	Evan T. Mcconnell, Jr.	SEC-2005-00069	Final Order
07/10/2009	Margaret E. Mcconnell	SEC-2005-00070	Final Order
07/10/2009	Investology Inc.	SEC-2008-00052	Settlement Order
07/14/2009	Cb Tax Franchise Systems Lp	SEC-2008-00076	Final Order
07/15/2009	Michael L. Darnell And Wealth Matters, Inc.	SEC-2009-00060	Settlement Order
07/15/2009	Banc Of America Securities Llc And Banc Of America Investment Services, Inc.	SEC-2009-00056	Consent Order
07/15/2009	Citigroup Global Markets Inc.	SEC-2009-00029	Consent Order
07/15/2009	Thomas Clark Keener	SEC-2007-00082	Final Order
07/20/2009	Dmb Sports Property, Et Al.	SEC-2006-00020	Rule To Show Cause
07/20/2009	Dennis Michael Butts	SEC-2006-00019	Rule To Show Cause
07/30/2009	Prosper Marketplace, Inc.	SEC-2009-00045	Consent Order



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Order Date	Defendant	Case Number	Order Type
08/03/2009	Ess Environmental, Inc.	SEC-2008-00086	Final Order
08/03/2009	David Feuerborn	SEC-2009-00031	Final Order
08/04/2009	Theodore J. Hogan & Associates, Llc And Theodore J. Hogan	SEC-2007-00069	Judgment Order
08/04/2009	Steve Spill	SEC-2008-00014	Judgment Order
08/04/2009	Magic Concepts, Inc.	SEC-1999-00031	Judgment Order
08/18/2009	Thomas R. May	SEC-2009-00052	Rule To Show Cause
08/18/2009	Sweet Seats, Llc	SEC-2009-00099	Rule To Show Cause
08/19/2009	Wachovia Securities, Llc And Wachovia Capital Markets, Llc	SEC-2009-00044	Consent Order
08/19/2009	Terry Black D/B/A Phoenix Technologies Llc	SEC-2009-00055	Rule To Show Cause
08/20/2009	Spa' Ladi-Da Franchise, Inc.	SEC-2009-00068	Rule To Show Cause
08/20/2009	Detra S. Jones	SEC-2009-00069	Rule To Show Cause
08/26/2009	Kaleidoscoops, Inc.	SEC-2009-00057	Final Order
09/08/2009	Technology Communications Management, Llc	SEC-2009-00036	Rule To Show Cause
09/08/2009	Rawle Gerard Suite A/K/A Gerald Suite A/K/A Raul Jerard Anthony A/K/A R.J. Anthony	SEC-2009-00037	Rule To Show Cause
09/18/2009	Stifel, Nicolaus & Company, Inc.	SEC-2008-00095	Settlement Order
09/25/2009	Dmb Sports Property, Et Al.	SEC-2006-00020	Settlement Order
09/25/2009	Dennis Michael Butts	SEC-2006-00019	Settlement Order
09/29/2009	Texas Bar-B-Q Factory, Inc. And Michael Yatco	SEC-2009-00028	Settlement Order
09/29/2009	Steven Everhart And The Dentist'S Choice, Inc.	SEC-2009-00085	Settlement Order
10/08/2009	Nicole Gray	SEC-2007-00074	Final Order
10/20/2009	Michael Miles	SEC-2008-00045	Settlement Order
10/26/2009	Michelle B. Adams	SEC-2009-00046	Settlement Order
10/26/2009	Rbc Capital Markets Corporation	SEC-2009-00053	Consent Order
10/27/2009	American Capital Advisory, Llc	SEC-2009-00047	Settlement Order
10/28/2009	Roberts Awning Restoration And Renewal, Llc F/K/A Roberts Awning, Llc	SEC-2009-00080	Other Orders
10/28/2009	Julius Everett Johnson D/B/A Benefit Contract Administrators, Llc	SEC-2009-00082	Other Orders
10/28/2009	First Fidelity Financial Of Richmond, Llc	SEC-2009-00105	Other Orders
10/28/2009	Capital Investor Group, Inc.	SEC-2009-00106	Other Orders
10/28/2009	Commonwealth Assurity, Llc	SEC-2009-00107	Other Orders
10/28/2009	Mid Atlantic Insurance Agencies, Inc.	SEC-2009-00115	Other Orders
10/28/2009	Fic Financial Group, Inc.	SEC-2009-00116	Other Orders
10/28/2009	Livingwell Healthcare Of Virginia, Llc	SEC-2009-00117	Other Orders
10/28/2009	Everett Awning, Inc. D/B/A Roberts Awning	SEC-2009-00121	Other Orders
10/28/2009	Christian Wealth Management, Llc	SEC-2008-00077	Other Orders
10/28/2009	Mhc Linen Services, Llc	SEC-2009-00078	Other Orders
10/28/2009	Benefit Contract Administrators, Inc.	SEC-2009-00077	Other Orders
10/28/2009	Walter Ray Reinhardt	SEC-2009-00076	Other Orders
10/28/2009	Julius Everett Johnson	SEC-2009-00075	Other Orders
10/28/2009	River City Cleaners, Llc	SEC-2009-00079	Other Orders
11/09/2009	Eastcorp Business Investor Services, Llc	SEC-2008-00049	Final Order
11/09/2009	Donald Clint Eastman	SEC-2008-00050	Final Order
11/25/2009	Learningrx Franchise Corporation	SEC-2009-00071	Settlement Order
11/30/2009	The Filta Group, Inc.	SEC-2009-00034	Final Order

2009 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
12/01/2009	Learningrx Franchise Corporation	SEC-2009-00071	Final Order
12/03/2009	Jumping Party, Inc. And Vern E. Six	SEC-2007-00026	Final Order
12/07/2009	Wanda P. Sears	SEC-2007-00048	Other Orders
12/14/2009	Merrill Lynch, Pierce, Fenner And Smith Incorporated	SEC-2009-00065	Consent Order
12/16/2009	Merrill Lynch, Pierce, Fenner & Smith Incorporated	SEC-2009-00122	Consent Order
12/21/2009	Credit Suisse Securities (Usa) Llc	SEC-2009-00109	Consent Order
12/22/2009	B&B Realty Investments, Llc	SEC-2009-00133	Settlement Order
12/28/2009	Madeline Fortunato	SEC-2008-00065	Settlement Order
12/28/2009	Fashion Technology Ventures, Inc.	SEC-2006-00079	Other Orders
12/28/2009	Rebel Holiday	SEC-2007-00030	Other Orders
12/28/2009	Thomas Trexler	SEC-2007-00029	Other Orders
12/30/2009	Nettalon Security Systems, Inc.	SEC-2008-00096	Final Order

2008 Enforcement Orders and Judgments

Order Date	Defendant	Case Number	Order Type
01/07/2008	Whole Child Franchising, Llc	SEC-2007-00052	Final Order
01/07/2008	Regal Nails, Llc And Quy T. Ton	SEC-2007-00043	Final Order
01/14/2008	G&G, Llc	SEC-2008-00006	Rule To Show Cause
01/14/2008	D. Trent Gourley	SEC-2008-00007	Rule To Show Cause
01/14/2008	Tropical Smoothie Franchise Development Corporation And Eric D. Jenrich	SEC-2007-00084	Settlement Order
01/30/2008	Magic Concepts, Inc.	SEC-1999-00031	Rule To Show Cause
01/30/2008	Thomas Gregory Cook	SEC-1999-00074	Rule To Show Cause
01/30/2008	Steve Spill	SEC-2008-00014	Rule To Show Cause
01/30/2008	Lytle Earl Foglesong	SEC-1999-00065	Rule To Show Cause
02/04/2008	James Democker	SEC-2006-00024	Settlement Order
02/05/2008	John Arthur Whitley	SEC-2007-00055	Rule To Show Cause
02/05/2008	Chris Jeffries	SEC-2007-00053	Rule To Show Cause
02/05/2008	C & D Management Company	SEC-2007-00054	Rule To Show Cause
02/20/2008	Enterra Seven, Llp	SEC-2008-00018	Rule To Show Cause
02/20/2008	Kat-5, Llp	SEC-2008-00019	Rule To Show Cause
02/20/2008	Great Oklahoma Oil Deal, Llp	SEC-2008-00020	Rule To Show Cause
02/20/2008	Kat-5-2, Llp	SEC-2008-00021	Rule To Show Cause
02/20/2008	David G. Rose	SEC-2008-00022	Rule To Show Cause
02/20/2008	Brian Rose	SEC-2008-00023	Rule To Show Cause
02/20/2008	Byron Hale Delavan, Jr.	SEC-2007-00067	Rule To Show Cause
02/20/2008	Mckean County 3 Well, Llp	SEC-2008-00016	Rule To Show Cause
02/20/2008	Pennsylvania 3 Well Development, Llp	SEC-2008-00015	Rule To Show Cause
02/20/2008	Enterra Energy, Llc	SEC-2007-00010	Rule To Show Cause
02/20/2008	L-O-T Development Wells, Llp	SEC-2008-00017	Rule To Show Cause
03/03/2008	Roy Dean Higgs	SEC-2007-00078	Rule To Show Cause
03/03/2008	James Democker	SEC-2006-00029	Other Orders
03/04/2008	Tropical Smoothie Franchise Development Corporation And Eric D. Jenrich	SEC-2007-00084	Final Order
03/04/2008	Jth Tax, Inc. D/B/A Liberty Tax Service	SEC-2008-00024	Settlement Order
03/14/2008	Robert Sherwood Boiler	SEC-2007-00081	Settlement Order
04/01/2008	Theodore J. Hogan & Associates, Llc And Theodore J. Hogan	SEC-2007-00069	Rule To Show Cause
04/02/2008	Lawrence J. Hoffman	SEC-2005-00058	Settlement Order
04/08/2008	Steve Spill	SEC-2008-00014	Rule To Show Cause
04/15/2008	Ronald Wertz D/B/A Greystone Capital	SEC-2008-00029	Rule To Show Cause
04/16/2008	Morgan Stanley & Co. Incorporated	SEC-2008-00034	Consent Order
04/17/2008	Mark A. Yates	SEC-2007-00003	Final Order
04/25/2008	Heidi Joy Keener	SEC-2008-00035	Settlement Order
04/28/2008	G&G, Llc	SEC-2008-00006	Settlement Order
04/28/2008	D. Trent Gourley	SEC-2008-00007	Settlement Order
05/01/2008	Luis A. Garcia D/B/A Gps Nanny And D/B/A Pcphonelink	SEC-2008-00055	Settlement Order
05/16/2008	Saxby'S Coffee, Inc.	SEC-2008-00046	Settlement Order
05/21/2008	Beyond Juice, Inc.	SEC-2008-00028	Rule To Show Cause
05/21/2008	Morrie Friedman	SEC-2008-00056	Rule To Show Cause
05/22/2008	John Arthur Whitley	SEC-2007-00055	Other Orders
05/22/2008	Lytle Earl Foglesong	SEC-1999-00065	Other Orders

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Order Date	Defendant	Case Number	Order Type
05/23/2008	Washington Square Securities, Inc.	SEC-2008-00030	Settlement Order
06/04/2008	Victory Conference Center, Llc	SEC-2008-00025	Settlement Order
06/17/2008	Magic Concepts, Inc.	SEC-1999-00031	Final Order
06/18/2008	H. Beck, Inc.	SEC-2007-00056	Rule To Show Cause
06/25/2008	Wanda P. Sears	SEC-2007-00048	Settlement Order
06/25/2008	Roy Dean Higgs	SEC-2007-00078	Final Order
06/30/2008	C & D Management Company	SEC-2007-00054	Final Order
06/30/2008	Chris Jeffries	SEC-2007-00053	Final Order
07/03/2008	Ameriprise Financial Services, Inc.	SEC-2007-00083	Settlement Order
07/10/2008	Thomas Gregory Cook	SEC-1999-00074	Settlement Order
07/15/2008	Stephen James Kaufmann .	SEC-2007-00079	Settlement Order
07/15/2008	Firm Grip Business Financial Services, Llc	SEC-2008-00064	Rule To Show Cause
07/15/2008	Charles Elston	SEC-2008-00063	Rule To Show Cause
07/15/2008	Rose Elston	SEC-2008-00062	Rule To Show Cause
07/15/2008	Michael Miles	SEC-2008-00045	Rule To Show Cause
07/15/2008	Nicole Gray	SEC-2007-00074	Rule To Show Cause
07/21/2008	Da-Vi Nails International, Llc And David Truong	SEC-2008-00066	Settlement Order
07/22/2008	Beyond Juice, Inc.	SEC-2008-00028	Rule To Show Cause
07/23/2008	Nusheen Javadizadeh	SEC-2008-00039	Rule To Show Cause
07/23/2008	Michael J. Gilhooly	SEC-2008-00038	Rule To Show Cause
07/23/2008	Shapour Javadizadeh	SEC-2008-00037	Rule To Show Cause
07/23/2008	Rjj Pasadena Securities, Inc.	SEC-2008-00040	Rule To Show Cause
07/23/2008	Berkley Johnston	SEC-2008-00072	Rule To Show Cause
07/28/2008	Kat-5, Llp	SEC-2008-00019	Final Order
07/28/2008	Great Oklahoma Oil Deal, Llp	SEC-2008-00020	Final Order
07/28/2008	Kat-5-2, Llp	SEC-2008-00021	Final Order
07/28/2008	David G. Rose	SEC-2008-00022	Final Order
07/28/2008	Enterra Seven, Llp	SEC-2008-00018	Final Order
07/28/2008	L-O-T Development Wells, Llp	SEC-2008-00017	Final Order
07/28/2008	Brian Rose	SEC-2008-00023	Final Order
07/28/2008	Pennsylvania 3 Well Development, Llp	SEC-2008-00015	Final Order
07/28/2008	Enterra Energy, Llc	SEC-2007-00010	Final Order
07/28/2008	Mckean County 3 Well, Llp	SEC-2008-00016	Final Order
08/06/2008	C.G.B. Marketing, Inc. And Carl G. Balestrieri	SEC-2008-00073	Settlement Order
08/11/2008	Luis A. Garcia D/B/A Gps Nanny And D/B/A Pcphonelink	SEC-2008-00055	Final Order
08/14/2008	Unity Investment, Inc.	SEC-2008-00071	Settlement Order
08/18/2008	Nusheen Javadizadeh	SEC-2008-00039	Settlement Order
08/18/2008	Rjj Pasadena Securities, Inc.	SEC-2008-00040	Settlement Order
08/18/2008	Michael J. Gilhooly	SEC-2008-00038	Settlement Order
08/18/2008	Berkeley Johnston	SEC-2008-00072	Settlement Order
08/20/2008	Michael Miles	SEC-2008-00045	Rule To Show Cause
08/21/2008	Steve Spill	SEC-2008-00014	Final Order
08/28/2008	Da-Vi Nails International, Llc And David Truong	SEC-2008-00066	Final Order
08/29/2008	Thomas Clark Keener	SEC-2007-00082	Settlement Order
09/03/2008	Virginia Barbeque Franchise Company And Richard A. Ivey	SEC-2008-00067	Settlement Order

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Order Date	Defendant	Case Number	Order Type
09/03/2008	King Lombardi Acquisitions, Inc. D/B/A Vr Business Brokers, Peter C. King, And Joann A. Lombardi	SEC-2008-00070	Settlement Order
09/09/2008	Cb Tax Franchise Systems Lp	SEC-2008-00076	Settlement Order
09/17/2008	Halloween Express, Llc	SEC-2008-00075	Settlement Order
09/24/2008	Ralph Hendry	SEC-2008-00068	Settlement Order
09/26/2008	Sunrise Lake Memorial Gardens, Llc	SEC-2005-00034	Rule To Show Cause
09/26/2008	Chancellorsville Financing, Inc.	SEC-2008-00009	Rule To Show Cause
09/26/2008	John Hardy Ross	SEC-2008-00031	Rule To Show Cause
09/26/2008	Decker Equities, Lp	SEC-2008-00051	Rule To Show Cause
09/26/2008	Paul Vincent Decker	SEC-2008-00008	Rule To Show Cause
10/01/2008	Vintner'S Cellar Franchising International, Inc.	SEC-2008-00078	Settlement Order
10/01/2008	H. Beck, Inc.	SEC-2007-00056	Settlement Order
10/01/2008	Lawrence Paul Driscoll	SEC-2008-00084	Rule To Show Cause
10/22/2008	Morrie Friedman	SEC-2008-00056	Final Order
10/22/2008	Shapur Javadizadeh	SEC-2008-00037	Dismissal Order
10/23/2008	Ronald Wertz D/B/A Greystone Capital	SEC-2008-00029	Final Order
10/30/2008	Galvin & Associates, Inc. F/K/A Galvin, Myong & Associates, Inc. D/B/A Gma	SEC-2006-00002	Final Order
10/30/2008	John Stephen Galvin D/B/A M&G Investment Company Or Magic	SEC-2006-00003	Final Order
10/30/2008	Stephen James Kaufmann	SEC-2007-00079	Rule To Show Cause
11/04/2008	Beyond Juice, Inc.	SEC-2008-00028	Final Order
11/07/2008	Citigroup Global Markets, Inc. F/K/A Solomon Smith Barney	SEC-2007-00047	Settlement Order
11/17/2008	Nicole Gray	SEC-2007-00074	Settlement Order
11/18/2008	Foxfire, Llc	SEC-2008-00069	Settlement Order
11/18/2008	Fashion Technology Ventures, Inc.	SEC-2006-00079	Rule To Show Cause
11/18/2008	Thomas Trexler	SEC-2007-00029	Rule To Show Cause
11/18/2008	Rebel Holiday	SEC-2007-00030	Rule To Show Cause
11/24/2008	Theodore J. Hogan & Associates, Llc And Theodore J. Hogan	SEC-2007-00069	Final Order
11/24/2008	Adult Entertainment Capital, Inc. F/K/A Zealous Trading Group, Inc.	SEC-2008-00106	Rule To Show Cause
11/24/2008	All About Honeymoons Franchise Corporation And Gregory Strobach	SEC-2008-00099	Settlement Order
12/10/2008	Adult Entertainment Capital, Inc. F/K/A Zealous Trading Group, Inc.	SEC-2008-00106	Rule To Show Cause
12/18/2008	Jth Tax, Inc. D/B/A Liberty Tax Service	SEC-2008-00087	Settlement Order
12/19/2008	Arthur L. Beiley	SEC-2008-00098	Rule To Show Cause
12/19/2008	King Lombardi Acquisitions, Inc. D/B/A Vr Business Brokers, Peter C. King And Joann A. Lombardi	SEC-2008-00070	Final Order
12/19/2008	A Wing And A Prayer, Llc	SEC-2003-00047	Final Order
12/19/2008	Kenneth E. Brown	SEC-2003-00046	Final Order
12/29/2008	I.D.A. Franchises, Inc. And Jeffrey C. Trice	SEC-2008-00100	Settlement Order
12/29/2008	Wellington Securities, Inc.	SEC-2008-00102	Settlement Order