deli deli con della della contra di		2012 (2012 ORDERS UNDER THE SECURITIES ACT	DER THE	SECURITII	ES ACT	
				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
1/26/12	ronwood Recovery	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1)	\$500	- Community of the Comm		Also noted the Consent Order does not affect
	Fund 2011 QP LLC		and Rule 509.01(B)(2))				potential civil liability under 23-42-106
2/27/12	vol R. Green	Cease and	Offer and sale of				Cease and desist from
	and .	desist order	unregistered				offers or sales of
	World Trust,		501)				securities in violation of 23-42-501: Staff ordered
	T.C						to continue its
							investigation into the
							offer and sale of
					-verturales		securities by the
under the state of							Respondents
2/29/12	Registration	Order	On July 29, 2010,		***************************************		Conditional registration
	of Samuel C.	Granting	Respondent				granted pursuant to a 12-
	albert with	Conditional	entered into an				month heightened
	NMS Capital	Registration	administrative				supervision plan being
	Asset		consent order				effectively carried out by
	Management,		with the				NMS Capital Asset
	inc.		Department for				Management, Inc.,
	Carlot (2000-20		his sale of				pursuant to the July 29,
	in the second		unregistered				2010 consent order.
	eria esperante de la companya de la		securities (23-42-				
	Learning and the second		501); his activity				
	techan ngasara		as an unregistered				
	www.essexyye		broker-dealer				
			agent and				

				employed there.			
				activities and	***************************************	encertainin ce	
Inc.				outside business		SOLVE CATAGODIC	
Wunderlich Securities,				disclosure of			
effectively carried out by				Respondent's		Securities, Inc.	
supervision plan being	***************************************			issue regarding	Registration	Wunderlich	
year heightened				referenced an	Conditional	with	
granted pursuant to a 3-	***************************************	**************************************		previous employer	Granting	of lan French	
Conditional registration				Respondent's	Order	Registration	3/14/12
				the future.			
				the Department in			
		•		be registered by		ee ee ee ee	
				adviser in order to			
				investment			
				dealer or		eni espera	
				with a broker-		originally completes	**********
				supervision plan		ezin'e e	
ng ng				heightened		mensis sect	
				placed under a			*****
				Respondent to be		- Andrews - Marie - Ma	•
	- OVI volunta			order required the			
				(c)). This consent			
				(23-42-301(a) and			
				representative,		- Consequence	AMADE MARA
				adviser			
				investment		in neighborh	•
REMEDIES/COMMENTS	A-1						****
OTHER	CONTRIBUTION	PENALTY	FINE			Paradas Asendes	***************************************
	ES ACT	E SECURITI	DER TH	2012 ORDERS UNDER THE SECURITIES ACT	2012	e monthe e	Al-Production of Schools of Schoo

					5/10/12				4/2//12	101111				71/42/4	1/2/1/2					*********	dh ************************************	***************************************					4/4/12			-	
The state of the s		n dimensiya di	Sharesu	Eckess	David S.	 guerigeauges;	2020NPCA	et soon digest	Servergy, Inc.		**************************************		ENVIRO, LLC	Clear Niver		and the state of t	No Property Control	in all confe	שני אינכנט, זווני.	Corrier by	Fnancial	James	Raymond	linc., and	Associates,	James and	Raymond			- Parkersbatt	
				Consent Order	Administrative			Consent Order	Administrative				Consent Order	Administrative												Consent Order	Administrative			7 T T T	ריכו
of a client's	named beneficiary	business by being	in the contrition	unethical practices	Dishonest and	509.01(B)(2))	and Rule	(23-42-509(c)(1)	Late Form D Filing	And the state of t	509.01(8)(2))	and Rule	(23-42-509(c)(1)	Late Form D Filing					((r)(z)(p)ouc	200/21/21/11	supervise (23-42-	reasonably	failure to	308(a)(2)(G);	(23-42-	unethical practices	Dishonest and			AUTA ORDERS ONDER THE SECORT) コファファー ニット
					\$10,000	 ***************************************			\$1,000					\$1,000															FINE	DEK IHE	フーフー
								-					•			\$1,/50,000.	amount of	settlement	total state	שוומו כי טו מו כ	share of the	proportionate	Arkansas's	constituting	penalty	civil monetary	\$5,766.45 as a		PENALTY	***************************************	- 1
															The second secon								MA APPENDIA PARA		the second				CONTRIBUTION	ES ACI)
Future registration	or and a second	for five months	נכוווווומנכט מווס	terminated and	Employment had been	under 23-42-106	potential civil liability	Order does not affect	Also noted the Consent		under 23-42-106	potential civil liability	Order does not affect	Also noted the Consent	investors	securities from Arkansas	buy back auction rate	Respondents agreed to	•	300(a)(2)(0) and (3).	308/a//2//G/ and ///	Code Ann, §§ 23-42-	further violations of Ark.	Cease and desist from		facilitated by NASAA.	Global Settlement	REMEDIES/COMMENTS	OTHER		

[·							Т				···T	~																	
							6/11/12				71 /QT /C	7/10/10														1904 PURENCE APRIL DE LE CONTROL DE LE CONTR				
	enement of the second of the s		торозыя	(Mikkelsen	Advisors and	R Mikkelsen				Sector Fund			NESOTO COM		************	e-west-resolved	n See Ameri		seminory in a		Assign-tim	na chaire						- -	
						consent Order	Administrative				Consent Order															***************************************			1 (2012 (
registered (23-42-	without being	duviser	adviser	investment	advisor and	in sess as an	Transacting	202.01(0)(4)	500 01/01/21/	and Rule	(23-42-509(c)(1)	The state of the s				***************************************					***************************************			508(a)(2)(G)).	200/c)/2)/C))	annuities (22.42				2012 ORDERS LINDER THE SECLIBITI
							\$3,000				\$500	k	***************************************														ī		ר - -	THE THE
The state of the s																											-	ALIVINGO I		
	•							-				Trible control of the							***************************************			**************************************				- TWO COMMANDS	CONTRIBOTION	CONTRIBUTION		ES VCT
Neither admitted nor	representative.	investment adviser or	Arkansas as an	transacting business in	the Act prior to	registration provisions of	Ordered to comply with	under 23-42-106	potential civil liability	Corner does not affect	Also noted the Consent	plan.	heightened supervision	firm based on the	employment with a new	approved his	A separate order		plan.	heightened supervision	employing firm of a	implementation by the	Department of and the	acceptance by the	conditional upon the		REMEDIES/COMMENTS	Office		

under 23-42-106			***************************************	509.01(8)(2))		77	The management of the same of
potential civil liability				and Rule			
Order does not affect				(23-42-509(c)(1)	Consent Order	Equity, LP	
Also noted the Consent			\$500	Late Form D Filing	Administrative	CSA Global	7/19/12
				employed there.		900-94-00	
				Respondent was		STANISM SET	***************************************
				complaints, while		7-00-4-00 P.YO	
IFS Securities.				customer			
effectively carried out by	*****			including		os de mores.	
supervision plan being				incidents,	Registration		
month heightened				disclosed various	Conditional	Epley	·····
granted pursuant to a 12-				previous employer	Granting	of Stuart	etini tudu tudu tu
Conditional registration				Respondent's	Order	Registration	7/16/13
				and 308.01(A)).	and the state of t		
				(Rules 308.01(D)		******	
registrations in Arkansas.				recommendations		***************************************	
representative				unsuitable			
investment adviser				308(a)(2)(G));	to hearing)	- Principle of the	Address de Antonio
dealer agent and				(23-42-	(subsequent	en i pariesia.	
Respondent's broker-				unethical practices	Order	Collier	
Revocation of			\$10,000	Dishonest or	Administrative	Christopher	7/10/12
self-reporting.				White are now many and the state of the stat	***************************************		100
Noted cooperation and							
denied allegations.				301(c))			
OTHER REMEDIES/COMMENTS	CONTRIBUTION	PENALTY	FINE				
	ES ACI			2012 ORDERS UNDER THE SECURIT	7 TT 07		eretailere attende
)) 		/ 1 1 1	ノフフロフローティ	ことこ	general est	

			8/30/12															8/13/12							8/6/12				
1/k/a Carr	Advisory, LLC	Markets	Capital		paintasen	e de como en com	2022	T, Andrewson (ortuna virgotega iz	STATE OF THE STATE			and some state of the	Wanagement	Investment	Mite	White and	Nichael	Group	The Littrell	Shots; and	d/b/a Pop-N-	Love God, LLC	Littrell, Jr.; To	Wallace J.				
to hearing)	(subsequent	Order	Administrative														Consent Order	Administrative						desist order	Cease and			7777	2012
as to all parties;	and Desist Order	affirming Cease	Final Order											42-308(a)(2)(F)).	requirements (23-	rules, and	of securities laws,	Previous violations		507(2) and (3))	deceit (23-42-	501); Fraud or	securities (23-42-	unregistered	Offer and sale of			ACEA CATERA CATERA CACCATE	
Investments	Capital	Carr Miller	\$30,000																							TN NE		טבת וחב	
												er er er er	•••••													PENALTY	7	SECURITI	
	**************************************									autre of 8 and America														······································		CONTRIBUTION	***************************************	ES ACI	EC VCT
investment adviser	parties; revoking	Desist Order as to all	Affirming Cease and	\$30,000.	with fines totaling	five years by FINRA along	entered within the past	subject of two orders	Respondent had been the	period of 5 years.	representative for a	or investment adviser	as a broker-dealer agent	registration in Arkansas	from reapplying for	application; prohibition	adviser representative	Denial of investment	and (3).	violations of 23-42-507(2)	desist from further	23-42-501; cease and	Arkansas in violation of	or sale of securities in	Cease and desist the offer	OTHER REMEDIES/COMMENTS			

	2012 (2012 ORDERS UNDER THE SECURIT	DER THE		ES ACT	
	0.000	and the second s	TI N	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
Miller Capital		revoking	a consistent and the constitution of the const	and the state of t		registration of Carr Miller
Investments,		investment	Market de Parence	www.man.mu		Capital Investments, LLC.
LLC; et al.		adviser				•
		registration of				
est de la comp		Carr Miller Capital				
		Investments, LLC;				
- Ogodijova		and fining Carr				
		Miller Capital				
was swa		Investments, LLC,				
i de serie que que en		for violations of	•			
		the Arkansas				
Nanc Nava		Securities Act;				
, makinaban		Other and sale of				
- A STATE OF THE S		unregistered				· · · · · · · · · · · · · · · · · · ·
		securities (23-42-				
		broker-dealer		and the annex		
		activity (23-42-				
	THE COURT OF THE C	301(a));				
9/4/12 Keith H.	Administrative	Willful violations				Permanent revocation of
Freeman	Consent Order	of Rules 308.01(D)				broker-dealer agent
and a strong		regarding				registration.
		suitability,				
		308.01(E)				
Marine Salah da Palah		regarding		······································		
		excessive trading,				
versioniss.		and 308.01(O)		**************************************		
	THE PARTY OF THE P	regarding				

		2012 (2012 ORDERS UNDER THE SECURIT	DER THE		ES ACT	
				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
			unauthorized transactions (23-42-308(a)(2)(B)).				
9/14/12	The Income Fund, LLC	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$1,000			Also noted the Consent Order does not affect potential civil liability under 23-42-106
9/14/12	Trail Creek Crossing, LLC	Administrative Consent Order	Use of general solicitation and/or advertisement in a Rule 506 offering in violation of Rule 502(c) of Regulation D, constituting an offer or sale of unregistered securities (23-42-501).	\$1,000			Also noted the Consent Order does not affect potential civil liability under 23-42-106
9/18/12	Bankers Life and Casualty Company, and BLC Financial Services, Inc.	Administrative Consent Order	Unregistered broker-dealer and investment adviser activity, (23-42-301(a) and (c)); Employment of unregistered agents 23-42-		\$77,937.98		Global Settlement facilitated by NASAA. Cease and desist from further violations of §§ 301(a) and (c), and 301(b)(1); payment of past fees of \$5,000,00:

	2012 (2012 ORDERS UNDER THE SECURITI	DER THE	SECURITI	ES ACT	
			Ŧ N E	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
	4	301(b)(1)).				payment of past audit fees of \$2,000.00.
9/24/12 Larry P.	Administrative	Offer and sale of	\$5,000			Ordered to not apply for
Sidman	Consent Order	unregistered				registration as an
		securities (23-42-				investment adviser or an
		decait in	***************************************		*****	investment adviser
		connection with				Arkansas for a period of 5
		offer or sale of				vears.
	,	securities (23-42-				
9/25/12 John Thomas	s Administrative	Cause for penalty	\$25,000			Reimbursement of
Financial, Inc.	c. Consent Order	pursuant under				undisclosed fees to
		23-42-308(a)(2)(B)				customers, totaling
		for the charging of				\$17,421.67
		(Rule 308.01(c))				
10/8/12 Cambridge	Administrative	Cause for penalty	A A A			Permanent revocation of
Legacy	Consent Order	under 23-42-				broker-dealer registration
Securities, Inc.	ÿ	308(a)(2)(B) for				in Arkansas
ery yankida.		idilule to	•			
		308(a)(2)(J));				
W-0-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-1-		unsuitable				
		recommendations				
V-((Rule 308.01(D));				
	erichiede maine de care	non-disclosure or				

£	The state of the s					THE PARTY OF THE P	
		2012 (2012 ORDERS UNDER THE SECURIT	DER THE	SECURITII	TIES ACT	
				INE.	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
			misstatement of material facts				
			fraud or deceit in		A A A A A A A A A A A A A A A A A A A		
	en grande		of securities (23-	***************************************			
			42-507(2)); and the sale of				
	, income some	маниора пород	unregistered				
			securities (23-42- 501).				
10/8/12	M&M	Administrative	Offer or sale of		\$1,400		Cease and desist from
	Technologies,	Consent Order	unregistered				further violations of 23-
	ā		securities (23-42- 501).				42-501.
10/26/12	Mørgan ;	Administrative	Failure to	\$15,000			Restitution ordered to
	Keegan and Company, Inc.	Consent Order	supervise former agent (23-42-				one investor, totaling
	ere de la livre de		308(a)(2)(J));				фирмунд в Малананананан да уусундуу
	wasalo mwogo		Respondent's				
	Mondy Propose c		former agent				
	ween ear		excessive trading				
	edularen-et		(Rule 308.01(E)),				
	sanction age		and				
	nggerife restate		recommended				
			unsuitable				
	The state of the s		securities (Kule				

		2012 (2012 ORDERS UNDER THE SECURITI	DER THE	SECURITI	ES ACT	
				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
			308.01(D)), in his sale of exchange-traded funds (ETFs) while		90 9		
			(ETFs) while employed by the Respondent.				
11/6/12	Spyder Lynk, LLC	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1)	\$500			Also noted the Consent
	neographic .	1	and Rule				potential civil liability
	-directors a manifest designed		509.01(B)(2))				under 23-42-106
11/13/12	Brown Dog	Cease and	Conducting				Cease and desist from
	Financial, LLC	desist order	business in				further violations of 23-
	Antinia Palaga		Arkansas as an				42-301(c)
	esperate productive and a second		investment				
	manage Minne		adviser (23-42-		***************************************		
			301(c))	manufacture of gradual conference on the confere			
11/19/12	ProEquities,	Administrative	Unregistered			\$8,207.55 to	SEE EXHIBIT S for a copy
	, ,	Consent Order	broker-dealer activity (23-42-			NASAA, as	of this consent order
			301(a));			for the costs	Global Settlement
			unregistered			associated with	facilitated by NASAA.
······································			investment			NASAA's	
	Driver Liberty & S.		adviser activity			coordination of	Cease and desist from
	**************************************		(23-42-301(c));			the	conduct giving rise to
			Employment of			collaborative	liability under 23-42-308.
	72325		unregistered			investigatory	

	Working group					TOTAL OF THE PROPERTY OF THE P	
	investigation						
	the multi-state						projection designs
	provided by						noguesión are
	schedule		******				onsalanna
	according to a						Salahan ya
	2011, allocated	•					
	December 2,						- Andrewson
	2010, through						9643-844 (***)
	from April 30,						7×46±±2315.5
	time period						david victorium (Co
	the violative						
	located during						~~~
	agents were						- Andrews
	where dual						
	to the states	•••••					
	\$435,000 paid						page and an arrange and a second
	portion of the						100 miles (100 miles (
	Arkansas's			And Andrews			dentify special by
	NASAA, as						was says
	efforts of						alle victoria
	protection						ivazi-ir-n
	investor						
	advance the			APR			
	further						<u>į nejauvysna</u>
	force and to			301(b)(1)).			-polyments
	multi-state task			agents (23-42-			New John Wood of Street, Name
directly alone and an applicable distribution of the second and applicable and ap	efforts of the			broker-dealer			wice process
REMEDIES/COMMENTS			·····				and supply of the supply of th
OTHER	CONTRIBUTION	PENALTY	FINE				
	IES ACT	SECURIT	IDER THE	2012 ORDERS UNDER THE SECURITIES ACT	2012 (i vingvininjani

		2012 (2012 ORDERS UNDER THE SECURIT	DER THE		IES ACT	
	स्यूच्याच्यां क्षेत्रस्य स्थापने स्थापन			FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
						(SEE EXHIBIT S)	and the state of t
12/4/12	Jade Asset	Cease and	Fraud or deceit by				Cease and desist from
	Advisors;	desist order	an investment		normal e		further violations of 23-
	Walter A. Tye;		adviser or				42-301(c), 307, and 507.
	Elizabeth		representative				
	Littleton		(23-42-307); Fraud				
	o pro-entro		or deceit in			***************************************	
			connection with				and the second
			offer or sale of				
	econinate.		securities (23-42-				
	per signed and		507); unregistered				
	election of the second		investment				
	a) Xalamayevi		adviser activity				
			(23-42-301(c)).				
12/12/12	Braden S. Hill	Administrative	Willful violations				Taking into consideration
	with the second	Consent Order	of the Act and				Respondent's financial
	93.490,000		Rules constituting				status, in lieu of a
	nigati ingg		grounds for	·			monetary fine,
			penalty (23-42-				Respondent was ordered
	anconversion;		308(a)(2)(B));				to repay a client
	en i jearen		subject of an				\$2,323.00 for losses
	ganile (Gade		order entered				incurred; cease and
	Silver Secret		within the past				desist from further
	MATERIAL PROPERTY AND ADDRESS OF THE PARTY AND		five years by a				violations of the Act and
	eriinienee		securities self-			****	Rules; Revocation of
	es de la constanta de la const		regulatory				Respondent's registration
	Negogory		organization		- to Pro-		as a broker-dealer agent
			(FINRA) (23-42-				and an investment

													~~~											***************************************								
0	w		VOLUME TO THE PROPERTY OF THE	0		75	· Angerorane						S	Q	(FO)	***************************************	<					\$ 1.3 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0 × 1.0				0	(1)			9.00	2012 0	
or deceit in	308.01(X)); Fraud	Department (Rule	information to the	and misleading	intentionally false	providing	308.01(V));	Department (Rule	documents to the	requested	failure to provide	(308.01(Q));	sales material	advertising and	governing	FINRA rules	with relevant	ack of compliance	(Rule 308.01(D));	recommendation	unsuitable	308(a)(2)(G));	business (23-42-	in the securities	unethical practices	dishonest or	308(a)(2)(F)(i)(d));				<b>2012 ORDERS UNDER THE SECURIT</b>	
W10810000000000000000000000000000000000																												ŧ	FINE		DER THE	
THE PARTY OF THE P																											- and writing all the control of the		PENALTY			
																													CONTRIBILITION		IES ACT	***************************************
																										Arkansas.	adviser representative in	REMEDIES/COMMENTS	OTUE			

						THE STATE OF THE S					301(b)(1)).	agent	broke	unreg	Emplo	[23-4]	adviso	investment	unreg	Group, Inc.   301(a));	Services activi	Financial Consent Order   broke	12/13/12   UVEST   Administrative   Unre	507(2)).	secur	offer	conne			242.4000	2012 ORD
											)(1)).	agents (23-42-	broker-dealer	unregistered	Employment of	(23-42-301(c));	adviser activity	ment	unregistered	));	activity (23-42-	broker-dealer	Unregistered	)).	securities (23-42-	offer or sale of	connection with		FNE		2012 ORDERS UNDER THE SECURIT
																													PENALTY		
	to the states	\$ <u>750,000</u> paid	portion of the	Arkansas's	NASAA, as	efforts of	protection	investor	advance the	further	force and to	multi-state task	efforts of the	investigatory	collaborative	the	coordination of	NASAA's	associated with	for the costs	consideration	NASAA, as	\$14,150.94 to						CONTRIBUTION		<b>IES ACT</b>
The state of the s												from violating the Act.	Financial Services, Inc.	Company and BLC	Life and Casualty	materially aiding Bankers	Cease and desist from	···	facilitated by NASAA.	Global Settlement		of this consent order.	SEE EXHIBIT T for a copy					REMEDIES/COMMENTS	OTHER		

12/13/12 Dunwell Corporation & Preston Energy, Inc.			
Cease and desist order			2012
Offer or sale of unregistered securities (23-42-501).			2012 ORDERS UNDER THE SECURITIES ACT
		FINE	IDER THE
		PENALTY	SECURIT
	agents were located during the violative time period from January 1, 2005, through April 29, 2010, allocated according to a schedule provided by the multi-state investigation working group (SEE EXHIBIT T)	CONTRIBUTION	IES ACT
Cease and desist from offers or sales of securities in violation of 23-42-501; Staff of the Department ordered to continue its investigation into the offer and sale of securities by the Respondents to determine whether there were additional violations of the Act and Rules by		OTHER REMEDIES/COMMENTS	

***************************************	onester Control	( た)	) ファファーニー	ノ コ コ ナ ニ コ	)   	- - - - - -	
		7107	2012 ONDERS THE SECURI		SECURII	HES ACT	
				E R	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
							the Respondents.
12/19/12	United States	Cease and	Use of general			***************************************	Cease and desist from
***************************************	Oil & Gas	desist order	solicitation and/or				offer or sale of securities
***************************************	Corp., Omar		advertisement in a				in Arkansas and all
	Leon		Rule 506 offering			****************	activity in violation of the
	Plummer, and		in violation of Rule				Act and Rules.
	Alexander		502(c) of				
	William Tawse		Regulation D,				
·	árejvéda		constituting an				
**************************************			offer or sale of	·			
	251 r January		unregistered				
	wękoyas		securities (23-42-				
	***************************************		501); Unregistered			***************************************	
	energy and a		activity as an				
			agent of the issuer				
	W-000-00		(23-42-301(a));				
	er alangesider kap		Employment of an				
	- Bartis Si Maryi		unregistered				
	PARESTRA S		agent by an issuer				
	econ my dog		(23-42-301(b)(1));				
	to Samurage		Fraud or deceit in				
	0.400		connection with				
			offer or sale of				
			securities (23-42-				
	oriconhere		507(2)).		~~~		

Chad Dean Administrative Activity as an Hartsfield Consent Order unregistered agent of an issuer (23-42-301(a)).	TIVE.	2012 ORDERS UNDER THE SECURIT
Taking into consideration Respondent's ability to pay, ordered to disgorge commissions of \$2,500 received from violative activity as an unregistered agent of an issuer	PENALTY	
ion ay, ay,	CONTRIBUTION	ITIES ACT
Cease and desist from further violations of 23-42-301(a).	OTHER REMEDIES/COMMENTS	