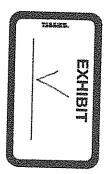
106				200:04(2/12/)		1	
106				509.01/B)(21)		T	
				and Rule		Healthcare Fund,	
affect potential civil liability under 23-42-				(23-42-509(c)(1)	Consent Order	Partners	
Also noted the Consent Order does not			\$500	Late Form D Filing	Administrative	Highlander	3/10/11
				509.01(8)(2))			
106				and Rule			
affect potential civil liability under 23-42-			*************	(23-42-509(c)(1)	Consent Order	**********	
Also noted the Consent Order does not			\$500	Late Form D Filing	Administrative	Fishnature, Inc.	2/23/11
				507(2))			
				securities(23-42-		<u> in the spool</u>	
				offer or sale of		Marvin Jackson	M. M. A. O. A. A. O. A.
		- h-1		connection with		Darell Woodard;	
	***************************************			deceit in		Communications;	
	and and American			501); Fraud or		emailwe.com	***************************************
507(2)				securities(23-42-		Corporation d/b/a	
of Ark. Code Ann. §§ 23-42-501 and				unregistered	Order	Business	
Cease and desist from further violations			***************************************	Offer and sale of	Cease & Desist	The Home	2/7/11
supervision plan.					WHO THE TRANSPORT OF TH		
upon provisions of a heightened				activity		Corporation	***************************************
Approval of limited registration based	***************************************			alleging violative		Financial Equity	***************************************
	**************************************			complaints		with First	
customer complaints		*******		customer	Consent Order	Ronald J. Clayton	•
Former Stanford agent with numerous				Numerous	Administrative	Registration of	1/28/11
				509.01(B)(2))			
106			********	and Rule		osillokse	
affect potential civil liability under 23-42-			~~	(23-42-509(c)(1)	Consent Order		
Also noted the Consent Order does not			\$500	Late Form D Filing	Administrative	Ozofii Access, Ltd.	1/12/11
OTHER REMEDIES/COMMENTS	CONTRIBUTION	PENALTY	FINE				
SACI	CURLIE	スーコロンロ	A D C	ACT ONDERS ONDER THE SECURITIES ACT	C TTO		
27			ב כ	ロフロロのニョ	0 r r 0 c		



		2011 0	2011 ORDERS UNDER THE SE	DER.	THE SE		ACT
				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
3/11/11	Tigari Trading	Cease & Desist	Offer or sale of		no a secretario di mandra di m		Cease and desist from further violations
	Company, LC;	Order	unregistered				of Ark. Code Ann. §§ 23-42-501 and
	Walter "Jack"		securities (23-42-				507(3).
	Youngblood; and		501); Fraud or				,
	James C. Harvey		deceit in				
			connection with				
	*********		offer or sale of				
			securities(23-42-				
			507(3))				
3/22/11	NYTEX Ene gy	Administrative	Late Form D Filing	\$500			Also noted the Consent Order does not
	Holdings, Inc.	Consent Order	(23-42-509(c)(1)		************		affect potential civil liability under 23-42-
			and Rule				106
			509.01(B)(2))				
3/22/11	Bridgehampton	Administrative	Late Form D Filing	\$800			Also noted the Consent Order does not
	Long Equity Fund,	Consent Order	(23-42-509(c)(1)				affect potential civil liability under 23-42-
	5		and Rule				106
			509.01(B)(2))				
3/22/11	IRX Therapeutics,	Administrative	Late Form D Filing	\$500			Also noted the Consent Order does not
	mc.	Consent Order	(23-42-509(c)(1)				affect potential civil liability under 23-42-
			and Rule		***************************************		106
			509.01(B)(2))				

4/6/11	4/5/11	11/00/5	3/30/11		
	·	<u>j.</u>		The second secon	
AOS 1-8, LP	On2Locate,	Julia Fundi	John Blake-Juniga		
	nc.		uniga		
Administrative Consent Order	Administrative Consent Order	Consent Order	Administrative Consent Order	COTT O	2011 0
Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	outside business activities (23-42-308(a)(2)(G) and Rule 308.01(R))	Outside business activities (23-42-308(a)(2)(G) and Rule 308.01(R))	אטבואט טו	2011 ORDERS HNDER THE SE
\$500	\$500	\$/00	\$3,500	FINE	ムフロワ
***************************************	`			PENALTY	
				CONTRIBUTION OTHER	CHBITIES
Also noted the Consent Order does not affect potential civil liability under 23-42-106	Also noted the Consent Order does not affect potential civil liability under 23-42-106	Assisted John Blake-Zuniga (see above) Cease and desist from conducting outside business activities in violation of Ark. Code Ann. § 23-42-308(a)(2)(G) Neither admitted nor denied allegations.	Worked with Julia Youngblood (see next order) but conducted more outside business activity, thus resulting in a larger fine. Cease and desist from conducting outside business activities in violation of Ark. Code Ann. § 23-42-308(a)(2)(G) Also noted the Consent Order does not affect potential civil liability under 23-42-106	OTHER REMEDIES/COMMENTS	ACT .

			2011 0	2011 ORDERS UNDER THE SECURITIES ACT	DER	THE SE	CURITIES	ACT OTHER REMEDIES/COMMENTS
8/44/44				The control of the co	FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
4/11/11	Advisors Disciplined rust 440 (Tactical Income Closed- End Portfolip,	rust ed-	Administrative Consent Order	Failure to file amendment (23- 42-509(b))	\$500			Ordered reevaluation of procedures for estimating the appropriate notice filing fee pursuant to Ark. Code Ann. § 23-42-509(a)(1)(A)
	Series 10)							Also noted the Consent Order does not affect potential civil liability under 23-42-106
4/11/11	Claymore Securities Defined Portfolios, Series 637 (Global Water Equities Portfolio,	fined eries Vater folio,	Administrative Consent Order	Failure to file amendment (23- 42-509(b))	\$500			Ordered reevaluation of procedures for estimating the appropriate notice filing fee pursuant to Ark. Code Ann. § 23-42-509(a)(1)(A)
	Series 17)							Also noted the Consent Order does not affect potential civil liability under 23-42-106
4/11/11	Advisors Disciplined Trust	rust	Administrative Consent Order	Failure to file amendment (23-	\$500			Ordered reevaluation of procedures for estimating the appropriate notice filing
	450 (Advisors Corporate Trust - Navellier/Dial	ust-		42-509(b))				fee pursuant to Ark. Code Ann. § 23-42-509(a)(1)(A)
	Opportunities Portfolio, Series	ies s						Also noted the Consent Order does not affect potential civil liability under 23-42-106
	10)			TO THE				

	2011 0	RDERS UN	DER	THE SE	CURITIES	ACT
			FNE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
Advisors Disciplinad Trust	Administrative	Failure to file	\$500			Ordered reevaluation of procedures for
ANA Individue	Consent Order	43 EUDIPII				estimating the appropriate notice filing
Corporate Trust -		42"303(0))				ree pursuant to Ark. Code Ann. § 23-42-
Navellier/Dial						509(a)(1)(A)
High Income				***************************************		Also noted the Consent Order does not
Opportunities						affect potential civil liability under 23-42-
Portfolio, Series 9)						106
Claymore	Administrative	Failure to file	\$500			Ordered reevaluation of procedures for
Securities Defined	Consent Order	amendment (23-				estimating the appropriate notice filing
Portfolios, Series		42-509(b))				fee pursuant to Ark. Code Ann. § 23-42-
634 (Closed End						509(a)(1)(A)
National						
Municipal						Also noted the Consent Order does not
Portfolio, Series						affect potential civil liability under 23-42-
16)						106
Constantine A.	Administrative	Unregistered				Respondent did not have the financial
Diavatopoulos	Consent Order	activity (23-42-				resources to pay a fine and repay his
		301(a); Offer or		•		customers. As a result, the Respondent
		sale of				was ordered to pay restitution of \$26,500
		unregistered				to his customers over a two-year period.
		securities (23-42-				
		501); Dishonest				Agreed to not reapply for registration as
		or unethical				a broker-dealer agent, agent of an issuer.
skiesowie:		practices (23-42-				or investment adviser representative in
		308(a)(2)(G))				Arkansas.
DeBartolo	Administrative	Late Form D Filing	\$250			Also noted the Consent Order does not
Opportunity Fund	Consent Order	(23-42-509(c)(1)				affect potential civil liability under 23-42-
Ţ, \$\frac{1}{2}\$		and Rule				106
		509.01(B)(2))				
	Advisors Disciplined Trust 444 (Advisors Corporate Trust - Navellier/Dial High Income Opportunitles Portfolio, Series 9) Claymore Securities Defined Portfolio, Series 634 (Closed End National Municipal Portfolio, Series 16) Constantine A. Diavatopoulos DeBartolo Opportunity Fund I, LP	isors iplined rust (Advisors corate Trust - ellier/Dial Income ortunities folio, Series 9) more urities Defined conal nicipal folio, Series (Closed End onal nicipal stantine A. stantine A. artolo ortunity Fund	isors iplined rust (Advisors corate Trust - ellier/Dial Income ortunities folio, Series 9) more urities Defined conal nicipal folio, Series (Closed End onal nicipal stantine A. stantine A. artolo ortunity Fund	isors iplined rust (Advisors corate Trust - ellier/Dial Income ortunities folio, Series 9) more urities Defined conal icipal icipal folio, Series (Closed End onal icipal stantine A. stantine A. artolo ortunity Fund	Sor plined rust (Advisor's (Advisor's Interest) (Advisor's (Advisor's Portunities or Intoome Portunities (Consent Order Administrative Portunities (Closed End Onal icipal icipal icipal ortunity Fund (Consent Order Administrative Portunity (Administrative Portunity Portuni	Sons Fillure to file Sons Folio, Series Folio, Series Fillure to file Sons Folio, Series Fillure to file Sons Fillure to file Fillure to file Sons Fillure to file F

		2011 0	2011 ORDERS UNDER THE SECURITIES ACT	DER	THE SE	CURITIES	ACT
				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
5/5/11	The VisionG p,	Cease and	Offer or sale of				Cease and desist from offer or sale of
	Inc., VGRT, Inc.,	desist Order	unregistered				securities in Arkansas and further
	Joe E. Vincent, II,		securities (23-42-				violations of Ark. Code Ann. § 23-42-
	and Samant na		501); Fraud or				507(2).
	Sherman		(23-42-507(2))				
5/11/11	House Game	Administrative	Late Form D Filing	\$500			Also noted the Consent Order does not
	Production, LLC	Consent Order	(23-42-509(c)(1)				affect potential civil liability under 23-42-
			and Rule				106
	95-75-80		509.01(8)(2))				
5/16/11	Larry Stidman and	Administrative	Unregistered	\$7,500			Prohibited from business activity as an
	Complete Benefit	Consent Order	investment				investment adviser or representative
	Solutions, LLC		adviser				until properly registered.
	in each a		representative				
		THE THE PARTY OF T	(23-42-301(c))				
6/13/11	Trading Block	Administrative	Late Form D Filing	\$500			Also noted the Consent Order does not
	Holdings, Inc.	Consent Order	(23-42-509(c)(1)				affect potential civil liability under 23-42-
			and Rule				106
			509.01(B)(2))				
6/13/11	Harrell Financial	Administrative	Failure to file		\$500		
	Solutions	Consent Order	investment				
			adviser financial				
			statement (23-42-				
	el y spilosse e		305 and Rule				
			302.02(H)(b));				
			Willful violation				
			of the Act (23-42-				
			308(a)(2)(B))				
	25						

		2011 0	2011 ORDERS UNDER THE SECURITIES ACT	UDER :	THE SE	CURITIES	ACT
				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
7/6/11	Krisell Oil Company, Inc. and Leonard Krisell	Administrative Consent Order	Offer or sale of unregistered securities (23-42-501); Fraud or deceit (23-42-507)	\$20,000			Cease and desist from offering or selling securities in violation of 23-42-501; Cease and desist from violating the fraud provisions under 23-42-507; Respondent shall not become licensed in Arkansas as a broker-dealer agent, investment adviser representative, or an agent of an issuer; Respondent shall not act as an officer and director of an issuer selling securities in Arkansas Also noted the Consent Order does not affect potential civil liability under 23-42-106
7/21/11	NaturalShrimp Holdings, In S.	Administrative Consent order	Late Form D Filing (23-42-509(c)(1) and Rule	\$500	A STATUTO COMMUNICATION CONTRACTOR CONTRACTO	1	Also noted the Consent Order does not affect potential civil liability under 23-42-106
7/26/11	Nathan Calhoun	Administrative Consent Order	Offer or sale of unregistered securities (23-42-501); Fraud or deceit (23-42-507)				Cease and desist from offering or selling securities in violation of 23-42-501; Cease and desist from violating the fraud provisions under 23-42-507; will not apply or reapply as a broker-dealer agent or investment adviser representative
							FINRA consent agreement had suspended license and imposed a fine.

8/30/11	8/15/11	8/15/11	8/11/11	8/5/11	
HoozOn, LLC	Michael D. Gardner and Gardner Insurance Agency	Triathlon America, Inc.	Real Asset Equity Income Fund I, LP	Numblebee L	
			T uit	LLC	
Administrative Consent Order	Injunction and Order of Disgorgement in Pulaksi County Circuit Court	Administrative Consent Order	Administrative Consent Order	Administrative Consent Order	2011 0
Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	Offer or sale of unregistered securities (23-42-501); Unregistered broker or agent of the issuer (23-42-301)	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	2011 ORDERS UNDER THE SE
\$500		\$500	\$1000	\$500	DER
		The state of the s	00000		THE SE
			The state of the s		CURITIES ACT
Also noted the Consent Order does not affect potential civil liability under 23-42-106	Circuit Court ordered an injunction against selling securities until Defendants and security are registered or exempt. Ordered disgorgement of \$122,365.64 to be paid to investors through the registry of the court.	Also noted the Consent Order does not affect potential civil liability under 23-42-106	Also noted the Consent Order does not affect potential civil liability under 23-42-106	Also noted the Consent Order does not affect potential civil liability under 23-42-106	ACT OTHER REMEDIES/COMMENTS

		2011 0	2011 ORDERS UNDER THE SECURITIES ACT	IDER	THE SE	CURITIES	ACT
		A A A A A A A A A A A A A A A A A A A	THE PERSONNEL PROPERTY OF THE PERSONNEL PROP	FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
9/7/11	Atossa Genetics, Inc.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500	r in procession and a second		Also noted the Consent Order does not affect potential civil liability under 23-42-106
9/29/11	Rodney Callaway;	Injunction and	Unregistered		\$10,000		Enjoined from further violations23-42-
	Heritage Corner, Ltd.; Heritage	Order of Disgorgement	broker-dealer or agents (23-42-				301, 23-42-501, and 23-42-507.
	Funding Group,	in Pulaski	301); Offering and			***************************************	Ordered to pay disgorgement of
	Inc.	County Circuit	selling			annum nurve	\$300,000 to registry of the Court to be
		Court	unregistered				distributed to victim.
			securities (25-42-				
			42-507(2) and (3))				bankrinter case
10/19/11	Morgan Asset	Administrative	Dishonest and		\$434,215		Global Consent Order facilitated by
3	Management, inc.	Consent Order	unethical conduct			Andrewson word	NASAA, the SEC and FINRA.
	and Morgan		(23-42-			Maria Anthony	
	Keegan and		308(a)(2)(G));				Cease and desist from violating the Act;
	Company, Inc.		Failure to				the Respondents were ordered to pay
			supervise				\$100,000,000 to the SEC's Fair Fund to be
			(308(a)(2)(J));				established for the benefit of investors in
			Unsuitable				this matter; \$100,000,000 to a States'
			recommendation				Fund to be established for the benefit of
			s (23-42-				investors subject to this consent order;
			308(a)(2)(G) and				any costs, expenses, and charges
			Rules 308.01(D)				associated with the Fair Fund and the
			and 308.02(A))				States' Fund management and
							distributions were to be paid by the
	gussianes					***************************************	Respondents.
							The sum of \$434,215.00 was a monetary

		Required inde review superv procedures, a product/offer representativ			CONTRIBUTION	2011 ORDERS UNDER THE SECURITIES ACT
Authorized state audits and ordered Respondents to pay for audits.	Prohibited one person holding positions of General Counsel and Chief Compliance Officer.	Required independent consultant to review supervisory and compliance procedures, and required comprehensive product/offering training to agents and representatives.	Limited Respondents' ability to create and sell a proprietary find. Also imposed requirement of auditor for proprietary funds.	penalty constituting Arkansas's share of the state settlement amount of \$10,000,000.	OTHER REMEDIES/COMMENTS	SACT

			011 0	2011 ORDERS UNDER THE SE	DER	THE SE	CURITIES ACT	ACT
					FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
10/24/11	NOWA Technology, Inc.		Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-
				509.01(B)(2))				FCG
11/7/11	Tiger X Medical, Inc. f/k/a Cardo		Administrative Consent Order	Late Form D Filing (23-42-509(c)(1)	\$1000	To the state of th	and the state of t	Also noted the Consent Order does not affect potential civil liability under 23-42-
				509.01(B)(2))				FCC
11/14/11	Lewis & Clark	Ad	Administrative	Offer or sale of		\$7,000 (in		Also noted the Consent Order does not
	Outdoors, Inc.	င	Consent Order	unregistered		two		affect potential civil liability under 23-42-
				securities (23-42-		installments		106; cease and desist from further
				501)		of \$3,500)		violations of Ark. Code Ann. § 23-42-501
12/7/11	Heritage Pacific		Cease and	Unregistered				Cease and desist from further violations
	Financial	de	desist order	agent of the (23-				of Ark. Code Ann. § 23-42-301(a) and 23-
		***************************************		42-301(a)); Offer				42-501.
		~~~~~		or sale of				
	<del>-</del> 2000		************	unregistered				
	35000 Sec.			securities (23-42-				
				501)				