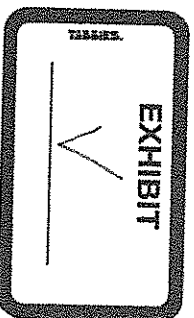


2011 ORDERS UNDER THE SECURITIES ACT

				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
1/12/11	Ozoffi Access, Ltd.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
1/28/11	Registration of Ronald J. Clayton with First Financial Equity Corporation	Administrative Consent Order	Numerous customer complaints alleging violative activity				Former Stanford agent with numerous customer complaints Approval of limited registration based upon provisions of a heightened supervision plan.
2/7/11	The Home Business Corporation d/b/a emailwe.com Communications; Darell Woodard; Marvin Jackson	Cease & Desist Order	Offer and sale of unregistered securities(23-42-501); Fraud or deceit in connection with offer or sale of securities(23-42-507(2))				Cease and desist from further violations of Ark. Code Ann. §§ 23-42-501 and 507(2)
2/23/11	Fishnature, Inc.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
3/10/11	Highlander Partners Healthcare Fund, LP	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106



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				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
3/11/11	Tiqari Trading Company, LLC; Walter "Jack" Youngblood; and James C. Harvey	Cease & Desist Order	Offer or sale of unregistered securities (23-42-501); Fraud or deceit in connection with offer or sale of securities(23-42-507(3))				Cease and desist from further violations of Ark. Code Ann. §§ 23-42-501 and 507(3).
3/22/11	NYTEX Energy Holdings, Inc.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
3/22/11	Bridgehampton Long Equity Fund, LLC	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$800			Also noted the Consent Order does not affect potential civil liability under 23-42-106
3/22/11	IRX Therapeutics, Inc.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106

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				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
3/30/11	John Blake-Zuniga	Administrative Consent Order	Outside business activities (23-42-308(a)(2)(G) and Rule 308.01(R))	\$3,500			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
3/30/11	Julia Youngblood	Administrative Consent Order	Outside business activities (23-42-308(a)(2)(G) and Rule 308.01(R))	\$700			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.
4/5/11	On2Locate, Inc.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
4/6/11	AOS 1-B, LP	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106

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				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
4/11/11	Advisors Disciplined Trust 440 (Tactical) Income Closed-End Portfolio, Series 10)	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) 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, Series 17)	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) Also noted the Consent Order does not affect potential civil liability under 23-42-106
4/11/11	Advisors Disciplined Trust 450 (Advisors Corporate Trust - Navellier/Dial High Income Opportunities Portfolio, Series 10)	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) Also noted the Consent Order does not affect potential civil liability under 23-42-106

2011 ORDERS UNDER THE SECURITIES ACT

				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
4/11/11	Advisors Disciplined Trust 444 (Advisors Corporate Trust - Navellier/Dial High Income Opportunities Portfolio, Series 9)	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) Also noted the Consent Order does not affect potential civil liability under 23-42-106
4/11/11	Claymore Securities Defined Portfolios, Series 634 (Closed End National Municipal Portfolio, Series 16)	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) Also noted the Consent Order does not affect potential civil liability under 23-42-106
4/11/11	Constantine A. Diavatopoulos	Administrative Consent Order	Unregistered activity (23-42-301(a); Offer or sale of unregistered securities (23-42-501); Dishonest or unethical practices (23-42-308(a)(2)(G))				Respondent did not have the financial resources to pay a fine and repay his customers. <u>As a result, the Respondent was ordered to pay restitution of \$26,500 to his customers over a two-year period.</u> Agreed to not reapply for registration as a broker-dealer agent, agent of an issuer, or investment adviser representative in Arkansas.
4/18/11	DeBartolo Opportunity Fund I, LP	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$250			Also noted the Consent Order does not affect potential civil liability under 23-42-106

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			FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
5/5/11	The Vision Group, Inc., VGRT, Inc., Joe E. Vincent, II, and Samantha Sherman	Cease and desist Order				Cease and desist from offer or sale of securities in Arkansas and further violations of Ark. Code Ann. § 23-42-507(2).
5/11/11	House Game Production, LLC	Administrative Consent Order	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
5/16/11	Larry Stidman and Complete Benefit Solutions, LLC	Administrative Consent Order	\$7,500			Prohibited from business activity as an investment adviser or representative until properly registered.
6/13/11	Trading Block Holdings, Inc.	Administrative Consent Order	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
6/13/11	Harrell Financial Solutions	Administrative Consent Order		\$500		

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				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
7/21/11	NaturalShrimp Holdings, Inc.	Administrative Consent order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			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 <u>FINRA consent agreement had suspended license and imposed a fine.</u>

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				FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
8/5/11	Numblebee LLC	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
8/11/11	Real Asset Equity Income Fund 1, LP	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$1000			Also noted the Consent Order does not affect potential civil liability under 23-42-106
8/15/11	Triathlon America, Inc.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
8/15/11	Michael D. Gardner and Gardner Insurance Agency	Injunction and Order of Disgorgement in Pulaski County Circuit Court	Offer or sale of unregistered securities (23-42-501); Unregistered broker or agent of the issuer (23-42-301)				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. Ordered to file a schedule of property.
8/30/11	Hoozon, LLC	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106

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				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			Also noted the Consent Order does not affect potential civil liability under 23-42-106
9/29/11	Rodney Callaway; Heritage Corner, Ltd.; Heritage Funding Group, Inc.	Injunction and Order of Disgorgement in Pulaski County Circuit Court	Unregistered broker-dealer or agents (23-42-301); Offering and selling unregistered securities (23-42-501); Fraud (23-42-507(2) and (3))		<u>\$10,000</u>		Enjoined from further violations 23-42-301, 23-42-501, and 23-42-507. Ordered to pay disgorgement of \$300,000 to registry of the Court to be distributed to victim. Order given preclusive effect in any bankruptcy case.
10/19/11	Morgan Asset Management, Inc. and Morgan Keegan and Company, Inc.	Administrative Consent Order	Dishonest and unethical conduct (23-42-308(a)(2)(G)); Failure to supervise (308(a)(2)(J)); Unsuitable recommendations (23-42-308(a)(2)(G) and Rules 308.01(D) and 308.02(A))		<u>\$434,215</u>		Global Consent Order facilitated by NASAA, the SEC and FINRA. Cease and desist from violating the Act; the Respondents were ordered to pay <u>\$100,000,000</u> to the SEC's Fair Fund to be established for the benefit of investors in this matter; <u>\$100,000,000</u> to a States' Fund to be established for the benefit of investors subject to this consent order; any costs, expenses, and charges associated with the Fair Fund and the States' Fund management and distributions were to be paid by the Respondents. The sum of \$434,215.00 was a monetary

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	FINE	PENALTY	CONTRIBUTION	OTHER REMEDIES/COMMENTS
				<p>penalty constituting Arkansas's share of the state settlement amount of <u>\$10,000,000.</u></p> <p>Limited Respondents' ability to create and sell a proprietary fund. Also imposed requirement of auditor for proprietary funds.</p> <p>Required independent consultant to review supervisory and compliance procedures, and required comprehensive product/offering training to agents and representatives.</p> <p>Prohibited one person holding positions of General Counsel and Chief Compliance Officer.</p> <p>Authorized state audits and ordered Respondents to pay for audits.</p>

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				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 509.01(B)(2))	\$500			Also noted the Consent Order does not affect potential civil liability under 23-42-106
11/7/11	Tiger X Medical, Inc. f/k/a Cardo Medical, Inc.	Administrative Consent Order	Late Form D Filing (23-42-509(c)(1) and Rule 509.01(B)(2))	\$1000			Also noted the Consent Order does not affect potential civil liability under 23-42-106
11/14/11	Lewis & Clark Outdoors, Inc.	Administrative Consent Order	Offer or sale of unregistered securities (23-42-501)		\$7,000 (in two installments of \$3,500)		Also noted the Consent Order does not affect potential civil liability under 23-42-106; cease and desist from further violations of Ark. Code Ann. § 23-42-501
12/7/11	Heritage Pacific Financial	Cease and desist order	Unregistered agent of the (23-42-301(a)); Offer or sale of unregistered securities (23-42-501)				Cease and desist from further violations of Ark. Code Ann. § 23-42-301(a) and 23-42-501.