

Enforcement Orders 1980 – 1998

Date Filed	Company/Individual	Decision #
December 14, 1998	Kelly R. Webb	61293
December 14, 1998	Dwight A. Morris	61292
December 14, 1998	European Marketing Group, L.C.; Charles Cox; David Kimmel; Charles Gregory; Planned Estate Consultants, Inc.; Marvin Beckman	61291
November 23, 1998	Robert J. Stahl	61248
November 23, 1998	Elizabeth Boyd	61247
November 23, 1998	David V. Francis	61246
November 23, 1998	United Mortgage Trust	61245
November 23, 1998	John M. Frick	61244
November 23, 1998	Kent Stanley Brown	61243
November 23, 1998	Christopher Castrogiovanni	61242
November 23, 1998	Private Asset Management, Inc.	61241
November 23, 1998	Michael Andrew Temple	61240
November 23, 1998	Hanover Financial Corporation; Raymond D. Pollard	61239
November 23, 1998	K. Nelson Harris	61238
November 23, 1998	WMA Securities, Inc.	61226
October 29, 1998	Chase Securities of Texas, Inc.	61219
October 29, 1998	Trendwatch, Inc.; Ronald Harry Lerner; Michael Diamond	61218
October 7, 1998	Raskob/Kambourian Financial	61160
October 7, 1998	United States Aircraft Corporation	61159
September 21, 1998	Alan Edward Koeneman	61136

September 16, 1998	Adam Craig Rentzer	61116
September 16, 1998	kidZtime TV, Inc.; Capital Funding & Financial Group, Inc.; Michael Alu	61115
August 27, 1998	Hanover Financial Corporation; Mayfair Group, L.L.C.; Anchor Trading Company, L.L.C.; Manhattan Financial Corporation; Executive Investment Group, L.L.C.; Monument Financial Group, L.L.C.; Steven R. Vereen; Douglas P. Avery; Stephen Silberfarb; Richard H. Jameson; Vaughn Dille; Darrell G. Hailstone; Raymond D. Pollard	61102
August 26, 1998	Buckhorn Financial Services, Inc.; Joseph K. Hilyard; Michael Lee Mathis	61081
August 26, 1998	Robert T. Scanlan	61080
August 26, 1998	Kirwan M. Flannery	61079
August 26, 1998	United Parcel Service of America, Inc.	61078
August 6, 1998	Safe Keeping, Inc., d.b.a. Safe Keeping Depository, Inc.; and Steven L. Shook	61041
August 6, 1998	Douglas Dean Sackett	61040
July 16, 1998	Aegis Financial Group, Inc.	60994
July 16, 1998	Rickey Allen Herndon	60993
June 19, 1998	Alan Edward Koeneman	60958
June 19, 1998	Lee May Blanche	60957
June 19, 1998	Ronald H. Weiner	60956
May 22, 1998	Eric Muench; Jayder Financial Group	60901
May 22, 1998	Christian Peter Tamburrelli	60900
May 22, 1998	Girven Kent Stott	60888
April 30, 1998	Black Diamond Mining Corp.; James Albert Ashpole	60830
April 8, 1998	Western Universal Fund Company, L.L.C.; Vincent James Liuzzi, III; James Bennett Scott	60784
April 8, 1998	Merit Capital Associates, Inc.	60783
March 24, 1998	Black Diamond Mining Corp.; James Albert Ashpole	60738

March 23, 1998	Interactive Television, Inc.; Jerome W. Morris	60739
March 23, 1998	Alan Frank Sue	60740
February 27, 1998	Norcross & Company, Inc. a.k.a. Norcross Securities	60715
February 27, 1998	Toluca Pacific Securities Corporation	60714
February 9, 1998	Jaron Equities Corporation	60664
February 9, 1998	Carrington Estate Planning Services; Richard Dean Carrington; Blake E. Morrow; James William White	60663
January 14, 1998	John G. Schaefer	60600
January 14, 1998	Jerry Michael Hall	60599
January 14, 1998	Allmerica Investments, Inc.	60598
December 18, 1997	Interactive Television, Inc.; Jerome W. Morris; Michael R. French	60522
December 18, 1997	Euro-Atlantic Securities, Inc.	60521
December 18, 1997	Kevin Dale Colton	60520
December 18, 1997	Anthony Nekos, a.k.a. Anatoli Nekos, a.k.a. Daniel Nekos; John Rydell; Nikko International Research, Ltd.; Nikko International Research, Ltd.	60519
November 25, 1997	Red Rock Dragons, Ltd; Red Rock Dragons Securities, Ltd.; John G. Juncal; Jeanmarie G. Juncal; Robert W. Langgons	60476
November 25, 1997	Charles Thomas Brown d.b.a. Preferred Trust Company; Sun West Investments, Inc.	60475
October 22, 1997	McCarn's Allstate Finance, Inc. d.b.a. Allstate Finance, Inc.; James Hoyle McCarn	60470
October 21, 1997	Capital Investment Trust; Equity Solutions, Inc.; Phoenix Resource Group, L.L.C.; Energy Solutions International, Inc.; Max W. Jones	60451
October 21, 1997	kidZtime TV, Inc.; Capital Funding & Financial Group, Inc.; Michael Alu	60450
October 21, 1997	Temper of the Times Communications, Inc.	60449
October 21, 1997	Maurice Ian Spitz; Worldwide Asset Advisors, Inc.	60448
September 26, 1997	First Union Brokerage Services, Inc.	60405
September 25, 1997	Red Rock Dragons, Ltd.; Red Rock Dragons Securities, Ltd.; John G. Juncal; Jeanmarie G. Juncal; Robert W. Langgons	60395

August 28, 1997	Fortune Financial Systems, Inc.; Fortune 21, Inc.; Real Estate Link, Inc.; James S. Byrd	60350
July 31, 1997	Christian Peter Tamburrelli	60332
July 31, 1997	Scottsdale Financial; Jack Walton Combs, Jr.	60331
July 31, 1997	Alan Lee Rippee	60330
July 30, 1997	Duane Reed	60326
July 30, 1997	American Cineplex; Silver Vision Entertainment; Barnyard Place Partners L.L.C.; Frank Capra, Jr.	60325
July 2, 1997	Paul Andre Maddox	60307
June 12, 1997	Billy Michael Blair	60262
June 12, 1997	Regal Investments, Inc.	60253
June 12, 1997	Christian Peter Tamburrelli	60252
June 12, 1997	Richard Patrick Djordjevic	60249
June 12, 1997	Billy Michael Blair	60262
May 16, 1997	Matthew Thomas Burgason	60195
May 16, 1997	Sierra Short Term Investment Trust No. 1; Sierra Management Group, Inc.	60194
May 16, 1997	Physician's Health of Arizona, Inc.	60193
April 17, 1997	Conference Management Services, Inc.; Kenneth W. Skousen	60163
March 19, 1997	Sumiko Wajima Moray	60101
March 19, 1997	Michael Manoochehr Ghodsian	60100
February 5, 1997	Cranbrook Funds: Cranbrook Money Market Fund; Cranbrook Treasury Fund	60040
February 5, 1997	Mogollon Brewing Company	60039
January 21, 1997	John A. Zimbra; Trust Guarantee Corporation	59989
January 21, 1997	Robert Apgar Zakian; Aim Financial Group, Inc., d.b.a. Alliance Investment Management	59988

January 21, 1997	Dena Calton Hennessy	59987
December 18, 1996	Michael Wynn	59925
December 18, 1996	Donovan A. Gstohl	59924
December 18, 1996	Marty J. O'Malley	59923
December 18, 1996	Gary D. Brittain d.b.a. J & J Enterprises; Brittain Financial Services, L.L.C.	59921
December 18, 1996	Denise E. Brittain; Brittain Financial Services, L.L.C.	59920
November 26, 1996	Todd D. Bothwell	59901
November 26, 1996	James L. Phillips; John R. Miller; Dorothy B. Resources, Inc.; IBN Corporation	59900
November 26, 1996	Schneider Securities, Inc.	59899
November 26, 1996	Shanghai/Phoenix Coffee Trading Company	59898
October 9, 1996	Nutek Information Systems, Inc.; Jeffrey A. Shuken; AKS DAKS Communications, Inc.; SMR Advisory Group, L.C.; Albert Koenigsberg	59868
August 22, 1996	Nutek Information Systems, Inc.; Jeffrey A. Shuken; AKS DAKS Communications, Inc.; SMR Advisory Group, L.C.; Albert Koenigsberg	59808
August 8, 1996	Gene Vesely	59786
August 8, 1996	Berl Jacob Cruzen	59785
August 8, 1996	Dennis James Ryan	59784
July 17, 1996	Calton & Associates, Inc.	59738
July 17, 1996	Arthur Den Hartog	59737
June 26, 1996	Gilford Securities, Inc.	59725
May 15, 1996	PaineWebber Incorporated, a Delaware Corporation	59639
May 15, 1996	Smith Barney Muni Funds-New York Money Market Portfolio-Class A	59638
April 24, 1996	Stephen Rangen	59609
April 24, 1996	Natwest Investor Services Corporation	59608

April 24, 1996	Franklin-Lord, Inc.; Richard Carl Whelan; Brett Leon Bouchy	59607
April 24, 1996	Joseph E. Gardner	59606
April 24, 1996	American Fortune 900, Inc. d.b.a. Fortune 900, Inc.; Rory Cypers; Joseph E. Gardner; Steven Bishop	59605
March 13, 1996	Roxie Webb, Inc.; Roxie Webb Securities Management, Inc.	59569
March 13, 1996	Global Data Corporation; Thomas E. Gordon; Dewey L. Zufelt	59567
March 13, 1996	Danforth Associates, Inc.	59566
February 21, 1996	Mark Allen Haugo	59514
February 21, 1996	Franklin-Lord, Inc.; Richard Carl Whelan; Brett Leon Bouchy	59513
December 20, 1995	Branch Cabel & Company	59419
December 20, 1995	Robert S. Burgman	59418
November 1, 1995	Gerald D. Taylor d.b.a Taylor Group Land Company; Taylor and Associates Real Estate Investments, Inc. f.k.a. Taylor-Powell Investments, Inc.	59383
October 11, 1995	Four Star International, Inc., a.k.a. FS Real Estate Acquisitions; Ernest Burt Buxton	59316
September 20, 1995	Hampton Investors, Inc.	59270
July 20, 1995	Accessor Funds Inc. - International Equity Portfolio	59173
June 7, 1995	Eric Michael Dicken	59117
June 7, 1995	SFI Investments, Inc.	59115
May 17, 1995	Sterling Capital Appreciation; Adam Mided	59097
May 3, 1995	Capital Financial Consultants, Ltd.; Charles Edward Conatser	59073
April 5, 1995	Scott A. Gould	59055
April 5, 1995	Deedra Brown	59054
March 13, 1995	Weiss Money Management, Inc.	59570
February 2, 1995	Jeffrey Roger Lindsey	58970

February 2, 1995	William Spiro Mentis	58969
February 2, 1995	Raymond Robert Newberg	58968
February 2, 1995	John Everett Cathcart	58967
February 2, 1995	Robert S. Burgman, d.b.a. Financial Design Equities	58966
December 21, 1994	AWS Liquidating L.L.C.; Jeffrey Dane Howes, Dexter Selwyn Cohen; Steven Gail Johnson	58916
December 21, 1994	Dennis Lyle Foley; System Analysis, L.L.C.	58914
December 21, 1994	George Edward Looschen, Jr.	58913
December 21, 1994	Kobey Corp.; Ivan M. Kobey	58911
December 21, 1994	Robert S. Burgman d.b.a. Financial Design Equities	58909
October 14, 1994	North Phoenix Physician Hospital Organization, Ltd.	58794
September 21, 1994	Lone Mountain Securities, Inc.	58766
April 28, 1994	Banner Fund International; Swiss Trade Commerce Trust, Ltd.	58618
February 25, 1994	B & D Equities Inc.	58546
February 25, 1994	Texas Capital Securities	58545
August 11, 1993	James M. Rodden; Advanced Marketing Group (AMG)	58368
July 20, 1993	FAMCOR Oil, Inc.	58352
June 30, 1993	Allen Garth Monroe	58325
May 20, 1993	James Arthur Ryan	58300
May 19, 1993	William P. McGivern	58279
April 8, 1993	Lost Dutchman Investments, Inc.; Breken and Associates, Inc.; American Investment Retirement Corporation; Mammoth Resources, Inc.; Paul Virgil Patterson; Curtis Wright Patterson; Robert Derald Green; Allen Garth Monroe; William Douglas Dennison; Rickey Duane Gardner; James Arthur Ryan; Rudy J. Garcia; William F. Taylor; Patricia A. Willett	58259
March 24, 1993	Gregory Mark Varley	58219

March 24, 1993	Joseph M. Rodden; Advanced Marketing Group	58218
February 4, 1993	Stephen Elssmann	58184
January 13, 1993	Robert Derald Green	58139
January 13, 1993	William Taylor	58138
December 10, 1992	Stephen Elssmann	58113
December 9, 1992	Steven Marc Slome	58090
November 12, 1992	William Kerr	58064
October 7, 1992	Dean Merrell	58037
October 7, 1992	Rickey Duane Gardner	58036
August 26, 1992	Anthony F. Blair; William C. Stead	57985
August 7, 1992	Lorin W. Surpless; Robert Scott Burgman	57979
August 6, 1992	Thomas Manno	57976
August 6, 1992	Jeff Foster	57975
August 6, 1992	Kenneth Garvey (CRD #1664214)	57974
July 2, 1992	National Industries Fund, Inc.	57928
June 3, 1992	Games Unlimited International, Inc. d.b.a. Milco Toys; Jeffrey William Miller; Rona Miller; William H. Miller; Shirley A. Miller	57884
May 14, 1992	The Woodington Group, Inc.; Integrated Environmental Services, Inc.; William J. Riggs, Rebecca W. Riggs, Sara H. Goldman, Abigail C. Woodington and Michael L. Goldman	57858
April 22, 1992	First American Biltmore Securities, Inc.	57806
April 22, 1992	Integrated Environmental Services, Inc.; William J. Riggs (CRD #166421); Rebecca W. Riggs; Sara H. Goldman; Abigail C. Woodington; Kenneth Garvey (CRD #502484); Michael L. Goldman (CRD #1776078); Jeff Foster; Martha Woodington; William Kerr; Thomas Manno; Stephen Elssmann	57805
April 22, 1992	Motors Mechanical Reinsurance Company, Limited	57804
February 20, 1992	First Investors Corporation; First Investors Consolidated Corporation; First Investors Management Company, Inc.; David D. Grayson; Glenn O. Head; Sam Siegel; Howard A. Froman; Alvin J. Blumenfeld; George Kechejian; John P. Murphy; Louis A. Woolf	57721



November 7, 1991	Todd D. Bothwell (CRD #859176)	57618
November 7, 1991	James J. Olson	57617
November 7, 1991	James Lee Foley, CRD #1294427	57616
November 7, 1991	Dan Lee Davis, CRD #1294426	57615
November 6, 1991	Restaurant Associates of America, Inc., also d.b.a. Guardian International Resources; John A. Dougherty	57592
September 5, 1991	Westech Lease Corporation, d.b.a. Western Executive Group; Western Geo Resources, Inc.; Charles Rietz	57535
August 2, 1991	Robert Carl Martin; Judith Anne Martin a.k.a. Anne J. Matin; Robert Herman Wagner; Ram Sales Associates, Inc.; Ram International, Inc.; Ram Dynamics, Inc.	57508
June 19, 1991	Daniel G. Hasbrook	57415
June 6, 1991	AMMO, Inc.; Robert J. Walton; Robert D. Bjerken	57401
May 1, 1991	Shufro, Rose & Ehrman	57354
April 3, 1991	H. G. Wellington & Co., Inc.	57303
February 15, 1991	Red Key Gold Mines, Inc.; First Sun West Corporation; Rio Salado Traders, Inc.; Roy Dean Higgs; Leon Henry Ritchie; Darrell E. Reed; Lawrence Michael Labine	57272
February 14, 1991	Simmons-Rufenacht Securities Corp.	57252
January 16, 1991	Quest Capital Strategies, Inc.	57225
November 29, 1990	Michael D. Mullet; Intercontinental Foreign Exchange, Ltd.	57148
November 29, 1990	Raymond L. Kotrozo; Carol A. Kotrozo; RL Kotrozo, Inc.	57145
September 19, 1990	Jesup, Josephthal & Co., Inc.	57103
September 10, 1990	R.C.I. Trading, Inc.; Axiom III Corp.; Continental Trading International, Ltd.	57101
August 22, 1990	T. L. Reed Securities, Inc.	57069
June 27, 1990	Douglas Stewart Incorporated	56989
June 6, 1990	Harold C. Brown & Co., Inc.	56950
June 6, 1990	Edward C. Rober & Co., Inc.	56951

April 27, 1990	OX Bow Mines, Inc.	56930
April 26, 1990	Frank H. McCullough	56929
April 26, 1990	Kenneth Harold Kube	56928
April 26, 1990	Paul John Robinson	56902
March 14, 1990	Geoff A. Havre	56851
March 14, 1990	John Alexander Schroeder; Stanley James Allen; Michael Patrick Fantetti; James Roe; Paul John Robinson; Sonya Marie Rozen	56850
March 14, 1990	John C. Bergman, Jr.	56849
February 21, 1990	James P. Tiberio; Denise Helen Tiberio; International Diversified Investment Corporation d.b.a. International Diversified Investment Company d.b.a. I. D. I. C. d.b.a. J. D. I. Limited Partnership	56829
December 20, 1989	Central States Metals Zoe, Inc.; Central States Metals Zoe, TN, Inc.; Mary Lyons; John William Rockenstein, Jr.	56761
December 20, 1989	Texas Coastal Securities, Inc.; Texas Coastal Petroleum, Inc.; Michael Edward Potter; Robert Polk Riordan, Jr.; William Thomas Harper; Robert Polk Riordan	56741
December 20, 1989	Texas Coastal Securities, Inc.; Texas Coastal Petroleum, Inc.; Michael Edward Potter; Robert Polk Riordan, Jr.; William Thomas Harper; Robert Polk Riordan	56724
December 11, 1989	Thomas James Associates, Inc.	56740
December 6, 1989	Gayle B. Gunn II, d.b.a. G. B. Gunn; Houston R.R. Corporation d.b.a. The Houston Corporation; Houston R & R Corporation; Reese T. Houston; Roger D. Swayze; Rochdale Recovery Group; Rich Stevens	56733
December 6, 1989	Texas Coastal Securities, Inc.; Texas Coastal Petroleum, Inc.; Michael Edward Potter; Robert Polk Riordan, Jr.; William Thomas Harper; Robert Polk Riordan; Robert Polk Riordan	56724
December 6, 1989	White Rock Mining, Inc.; Accrued Financial Services, Inc.; Apache Rand Corporation d.b.a. Apache Rand Refinery d.b.a. Apache Rand, Inc.; Marcel, Edwards, Hall & Associates; Steven J. Bourque a.k.a. J.W. Hall; Madre Mining Incorporated; Carl Grodin; Siegfried Jachmann	56723
December 6, 1989	Selected Money Market Fund, Inc. - General Portfolio	56722
December 6, 1989	Retirement Planning Funds of America, Inc. - Money Market Fund	56721
November 7, 1989	Bonnell & Co., Inc. (formerly known as Western Discount Securities)	56712
November 7, 1989	L. F. Thompson & Co.; Brian H. Zilke	56710
November 7, 1989	R. & T. Metals Corporation; Henry Irving Ramer; Melvin Douglas Thornton; Willard Bennard Lee; A. J. Ferrara	56709

November 7, 1989	Daniel Burl Horton	56708
November 7, 1989	James Mason Lepow	56707
November 7, 1989	Eppler, Guerin & Turner, Inc.	56706
November 7, 1989	William Gerard Corrigan; Gerard Financial Corporation	56698
October 5, 1989	Ronald Arthur Tober	56653
August 24, 1989	Pax World Fund, Incorporated	56616
August 4, 1989	Pannos Mining Company; Christopher E. Pannos; James E. Pannos; Lynn Diltz; William B. Mooney; Rick Stevens	56602
August 4, 1989	Jacquelin Sirota d.b.a. Global Consultants; Paul Cohen; Leonard Grassi Associates, Inc.	56601
August 4, 1989	Kenneth A. Roberts; Kenneth A. Roberts & Associates; Roberts Engineering & Development Corporation	56600
August 4, 1989	Janann M. Balogh	56596
July 12, 1989	Vulcan Mining & Development, Co., Inc.; Norman L. Bennett; Richard Boone; Troy Metals Group; Perry Billstone; Larry Kaufman; Investment Research Corp., Inc.	56536
July 3, 1989	Wisconsin Discount Securities Corporation, Inc.	56597
June 21, 1989	Consolidated Asset Management Fund, Inc,	56518
June 7, 1989	Century Capital Corporation; James Scott Cole	56497
May 18, 1989	Wade Bruce Cook; American Business Alliance, Inc. (Arizona); American Business Alliance, Inc. (Utah); Monarch Funding Corporation	56492
May 17, 1989	P. Oppenheimer & Associates, Inc.	56491
May 17, 1989	Gail Leslie Jones	56490
May 17, 1989	Eric Nobriga	56489
May 17, 1989	Thomson McKinnon Securities, Inc.	56488
April 5, 1989	DBL Tax Free Fund, Inc.-Limited Term Portfolio	56446
April 5, 1989	DBL Tax Free Fund, Inc.-Long Term Portfolio	56445
April 5, 1989	Drexel Series Trust-Priority Selection List Series	56444

April 5, 1989	Drexel Series Trust-Limited Term Government Series	56443
April 5, 1989	DBL Tax Free Fund, Inc.-Money Market Portfolio	56442
March 27, 1989	Bond Debenture Series; Government Securities Series; Growth Series; Money Market Series	56441
March 23, 1989	Sanford Barry Venitt	56413
March 23, 1989	Meracor Securities Corporation	56412
March 23, 1989	Huntington Securities Group	56411
March 23, 1989	ANFS, Inc.	56410
March 23, 1989	Southwest Capital Securities	56409
March 23, 1989	Sun Valley Securities	56408
March 23, 1989	Blum Investment Company	56407
March 23, 1989	Beuret & Company, Ltd.	56406
March 23, 1989	Ironwood Securities, Inc.	56405
March 23, 1989	FPI Securities, Inc.	56404
March 23, 1989	Crown Group, Ltd.	56403
March 23, 1989	Option Finance Corporation	56402
March 23, 1989	Sabre Securities Corporation	56401
March 23, 1989	First Arizona Investment Securities, Inc.	56400
March 23, 1989	Munoz Securities Co.	56399
March 23, 1989	Diversified Equities Corp.	56398
March 23, 1989	FCM Securities Corporation	56397
March 23, 1989	Equity Search Securities	56396
March 23, 1989	Windsor Equity Corporation	56395

March 23, 1989	Interwest Securities Corporation	56394
March 23, 1989	Financial Service Corporation of America	56393
March 23, 1989	O. R. Securities, Inc.	56392
March 23, 1989	Equities International Securities	56391
March 23, 1989	Oberweis Securities, Inc.	56390
March 23, 1989	Columbine Securities, Inc.	56389
March 23, 1989	Fitzgerald, Dearman & Roberts, Inc.	56388
March 23, 1989	Evans & Co., Inc.	56387
March 8, 1989	G. K. Scott & Co., Inc.	56365
February 16, 1989	Thomas Patrick Garrity	56354
January 26, 1989	MFS Financial Services, Inc.	56337
January 11, 1989	James Scott Cole	56316
December 19, 1988	The Value Line Fund, Inc.; Value Line Securities, Inc.	56338
November 30, 1988	Halcon Petroleum, Inc.; Floyd M. Totten	56247
November 21, 1988	New England Funds - New England Government Securities Fund	56246
October 13, 1988	Investex Petroleum, Inc.; Roger W. Slayton; Bruce F. Ruark	56178
October 3, 1988	L. G. Friedman Associates, Inc.; Southwestern Assistance, Inc.; Leonard Gregory Friedman; Michael King Thomas	56161
September 21, 1988	Schild Portfolios Series, Aggressive Growth Portfolio	56249
September 15, 1988	NRG Corporation of America; Merlyn Berg; Kim Baker; Ralph Baker; John Giustino; Mike Upchurch; Hydromet, Inc.; Dudley W. Hardin; Nevada Business Services; Roy Bonn; Results Plus, Inc.	56137
September 15, 1988	Modern Exploration, Inc.; Gary Yost; George K. Montgomery, Sr.; Greg R. Kuhn	56135
August 31, 1988	Marco Capital Resources, Inc.; M. Bruce Feldman; Ed Sanders; Laura Lee	56113

August 3, 1988	Dennis Kimsan Tan	56080
August 3, 1988	Century Capital Corporation; James Scott Cole	56079
August 3, 1988	Yes Investments, Inc.; William B. Yvon	56078
July 13, 1988	Tucker Anthony; R. L. Day, Inc.	56052
July 13, 1988	Franklin California Tax-Free Income Fund, Inc.	56051
June 29, 1988	Cigna Municipal Bond Fund	56042
June 29, 1988	Gerald Michael Dini	56034
June 13, 1988	First Affiliated Securities Inc.	56019
June 13, 1988	Vodavi Technology	56018
June 13, 1988	Maricopa Nursery, Ltd.; LB. Sterling Capital Corporation; Jack Craig Garber; David Brein; David Angard	56017
May 26, 1988	Benham Management Corporation; Capital Preservation Funds	55986
May 26, 1988	RAL Asset Management Group	55985
May 5, 1988	Shell Mining, Ltd.; Richard Eugene Shell; Merton Pekarul	55978
May 5, 1988	Yes Investments, Inc.; William B. Yvon	55972
April 6, 1988	E. F. Hutton & Company Inc.	55936
March 25, 1988	I.M. Simon & Co., Inc.	55924
March 8, 1988	Lee Robert Christian	56366
February 19, 1988	Benham California Tax-Free Trust High Yield Portfolio	55885
January 21, 1988	Transamerica Cash Reserve, Inc.	55854
January 21, 1988	Steve Wayne Rogers	55853
January 21, 1988	Sussex Securities Incorporated	55852
January 21, 1988	Coco's Metals International, Inc.	55851

January 11, 1988	Spelman & Co., Inc.	56315
December 9, 1987	E. F. Hutton & Company Inc.	55811
December 9, 1987	Kevin Lawrence Connolly	55810
November 24, 1987	K-D & Associates, Inc.; O.W. Martin Enterprises, Inc.	55799
October 21, 1987	Mike Douglas	55761
October 21, 1987	Sonya Marie Rozen	55760
October 21, 1987	Prudential-Bache Securities Inc.	55759
September 23, 1987	Ivy Fund	55742
August 26, 1987	Craig Allen Van Buskirk	55706
July 30, 1987	Strategic Metal Investments, Inc.; John M. Lefebvre	55668
July 30, 1987	NS Securities, Inc.	55667
July 30, 1987	Stanford Financial Resources, Inc.	55666
July 30, 1987	Brittenum & Associates, Inc.	55665
July 30, 1987	Argo Equities, Inc.	55664
July 2, 1987	Petro-Source Securities	55648
July 2, 1987	Enventure Securities Group Inc.	55647
July 2, 1987	United Investment Services, Inc.	55646
July 2, 1987	Sungrowth Securities Corp.	55645
July 2, 1987	Pilot Financial Services, Inc.	55644
July 2, 1987	Overthrust Securities, Inc.	55643
July 2, 1987	Financial Enterprises, Inc.	55642
July 2, 1987	D H Equine, Inc.	55641

July 2, 1987	Kevin Taylor Twohy	55640
July 2, 1987	Deborah Ann Stelfox	55639
July 2, 1987	Charles Edward Kuisle	55638
July 2, 1987	John Beryle Longman	55637
July 2, 1987	Lamonte Frick Bolding	55636
June 17, 1987	IFP, Incorporated	55601
June 17, 1987	Phenix Mining Corporation; George Brian Stone	55600
May 22, 1987	Quality Capital Financial Services, Inc.	55581
May 6, 1987	B. H. Oil Consultants, Inc.; Schruben-Waddell; Brian Higgins; David Windham	55555
April 23, 1987	James Edward Dutra	55542
March 18, 1987	Dwight Edward (IKE) Depottey; Sandra A. Depottey; Masterplan of Arizona a.k.a. Masterplan, Inc.; Car-Loan, Inc. a.k.a Car-Loan #801; East-West Technologies, Inc.; Conch Investment Co., Inc. d.b.a. Champ Automotive; International Corporation; Champ International	55472
March 4, 1987	Southwestern Financial Management, Inc.; John E. Anderson; Timothy P. Kack	55465
March 4, 1987	Peter E. Kack	55464
March 4, 1987	Timothy P. Kack	55463
March 4, 1987	John E. Anderson	55462
March 4, 1987	Southwestern Financial Management, Inc.	55461
March 4, 1987	Western Labs & Engineering; M & M Holding, Inc.; Marshall Ott	55460
March 4, 1987	First Petroleum Corporation of America	55459
February 20, 1987	Richmar Petroleum Corporation d.b.a. Richmar Oil Corporation; Richard G. Gonday; Gonday Industries Corporation	55440
February 19, 1987	Troy Anthony & Associates; R. Gerard Suite	55439
December 30, 1986	Leo Thomas Marzoni, III	55362



December 17, 1986	Metropolitan Area Physicians, Ltd.	55339
December 3, 1986	American Energy Systems Leasing, Inc.; Jerome Anthony Cadden	55301
December 3, 1986	4R Enterprises, Inc.; Greywater Miser; Parker B. Raphael, Sr.	55300
November 19, 1986	Buyer's Corporation; Victor Bergelson	55297
November 19, 1986	Buyer's Corporation; Victor Bergelson	55296
November 19, 1986	Buyer's Corporation; Victor Bergelson	55295
November 19, 1986	L. Arthur Sobel	55294
October 29, 1986	Gary Kosacz; Andrew M. Shubert	55251
October 16, 1986	Zykor International, Ltd.; X-Alpha International, Ltd.; Ronnie Harold Adair; Gary Lynn Dillon	55237
October 16, 1986	Epic Enterprises, Ltd.; Remington Sharp; Jason Cath Cart; TWA Associates; Thomas William Anderson	55236
October 1, 1986	Paragon Investments, a.k.a. P.I.E., Inc.; Marvin D. Brandon, a.k.a. M.D. Brandon; Sanjay Kohli; Susan Hoversten; Jack L. Christian, Jr.	55213
September 18, 1986	Allied Petroleum, Incorporated; Kenneth Eugene Beeman; John Charles Quist	55211
September 9, 1986	Gemcraft, Inc.; Jerome R. Hutchins; Sheldon M. Blazar; G. Russell Hutchins; Frank L. Romero	55193
September 9, 1986	Atlas Publishing Corporation; Carl J. Allendorf; Mervin "Tommy" Syfert	55192
September 9, 1986	Gilbert Paul Marrero	55191
September 9, 1986	David Craig Motti	55190
August 20, 1986	Cera Industries Limited Partnership; Kelly Mularkey; Alan R. Mularkey; Cera Industries, Inc.	55150
August 6, 1986	Edward Brown Securities, Inc.	55127
August 6, 1986	National Theatre for the Performing Arts, Ltd.; Robert Leslie Bowenn	55126
August 6, 1986	Black Gold Oil Company; B.J. Pinter; William Driscoll	55125
July 28, 1986	L. C. Bennett	55121
July 28, 1986	Pinter Oil Company	55109

July 24, 1986	James L. Rummel	55108
July 24, 1986	Blinder Robinson & Co., Inc.	55107
July 10, 1986	Sidney Deo Anders	55102
July 9, 1986	David Craig Motti; Gilbert Paul Marrero	55093
July 9, 1986	Myers & Associates, Inc.; Charles D. Myers, Jr.; William J. Bryant	55092
June 25, 1986	Incor Sedona Properties	55082
June 25, 1986	Incor Sedona Properties	55081
June 25, 1986	Mint Financial Services, Inc.; Don Collier	55080
June 25, 1986	North American Oil & Gas, Inc.; Jerry L. Pettiet; Paul R. Beeson; Desert Rose Oil Company	55079
June 11, 1986	Gary Kosacz; Andrew M. Shubert	55064
May 30, 1986	Marge Robinson	55055
May 29, 1986	Richard Zinke	55041
May 29, 1986	Mitchell James Klenda	55040
May 29, 1986	Richey Frankel & Co.	55039
May 29, 1986	Carl Eldon Walker; Phoenix Can Company, Inc.	55038
May 6, 1986	Beacon Securities, Inc.	55021
April 30, 1986	Chris Griffin Mendrop	55010
April 30, 1986	All Services Financial Center	55009
April 30, 1986	Winchester Securities Corp.	55008
April 30, 1986	Francis Manzo & Company, Inc.	55007
April 30, 1986	Seco Securities Inc.	55006
April 30, 1986	Alsid Equities Inc.	55005

April 30, 1986	A Man Ataulah Malik	55004
April 30, 1986	Kermit Alden Kolstad, Jr.	55003
April 30, 1986	Capital Consultants Inc.	55002
April 30, 1986	Arthur De Rosa & Associates	55001
April 30, 1986	Horizon Trading Inc.	55000
April 30, 1986	Bevill Bressler & Schulman, Inc.	54993
April 30, 1986	Stoneridge Securities Inc.	54992
April 21, 1986	Christensen, Tervort, Inc.; Intercoastal Finance Corporation; David Alan Christensen; Tommy Robert Tervort; Broadway Business Center #1 Limited Partnership	54984
April 21, 1986	Arizona Petroleum Research	54983
March 19, 1986	Stephen Kenneth Schlunz	54949
March 6, 1986	Douglas J. Cardon	54918
March 6, 1986	Dallin Donald Law; Gary Alson Moore; Michael Heber Clement; Wayne Louis Guthrie; Alan Wayne Strebeck	54917
February 6, 1986	Thomas Gaylord Pline Stuart James Company, Inc.	54884
February 5, 1986	Drexel Burnham Lambert, Inc.; Stanley S. Trotman, Jr.	54885
January 23, 1986	Petroleum Research Corp.; Arizona Petroleum Research Corp.; Daniel Wood; John Michael Kupanoff; Wayne Stout	54867
December 19, 1985	Petroleum Research Corp.; Arizona Petroleum Research Corp.; Daniel Wood; John Michael Kupanoff; Wayne Stoute	54818
December 12, 1985	Van Hardin Blount	54798
November 26, 1985	Cooperative Home Loan Association of Arizona; Cooperative Home Loan Fund of Arizona	54779
November 13, 1985	Daley Securities, Inc.	54778
November 13, 1985	Silver Screen Partners II, LP	54776
November 13, 1985	First National Service & Energy Corporation; Blake William Wilson; Alaskan Petroleum Corporation	54775
October 16, 1985	First National Service & Energy Corporation; Blake William Wilson; Alaskan Petroleum Corp.	54737

October 10, 1985	First National Service & Energy Corporation	54730
October 10, 1985	Innovative Supply Company, Ltd; Canadian Growing Grounds; Tom Rasmussen; Tom Carter	54714
September 5, 1985	Daley Securities, Inc.	54682
September 5, 1985	Morton, Mary Fleming	54681
September 5, 1985	Wellington Precious Metals, Inc.	54680
August 22, 1985	Phenix Mining Corporation; George Brian Stone	54644
August 7, 1985	Wilson-Davis & Co.	54639
August 5, 1985	Charles Chisum Palmer	54624
August 5, 1985	Mack Odell Hickman	54623
August 5, 1985	George H. Foster	54622
August 5, 1985	Matthew R. White Investment Co., Inc.	54621
August 5, 1985	Parker Bryant, Inc.; David C. Knight; Gary Kosacz; Andrew M. Shubert	54620
August 5, 1985	North American Investment Corp.	54619
August 5, 1985	Scott H. Smith	54618
August 5, 1985	Jimmy Craig Harris	54617
August 5, 1985	Hamilton Stearns Gregg II	54616
August 5, 1985	George Lewis Barritt	54615
July 8, 1985	Silver Screen Partners, II, L.P.	54625
July 1, 1985	Donald L. Lawrence	54581
June 28, 1985	Lionel G. Lancaster	54573
June 6, 1985	Engler-Budd Company	54554

June 6, 1985	Paragon Industries, Inc.; Paragon Energy Partners; Paragon Drilling Program, Ltd.; Sheila #1 Drilling Program, Ltd.; Daniel Beyer; George Greve; International Western Resources Corporation	54553
May 22, 1985	Hamilton Gregg Securities	54541
May 22, 1985	Johnson-Bowles Company Inc.	54540
May 8, 1985	Sunstates Corporation	54523
May 8, 1985	Harry James Munce	54522
April 25, 1985	Keep the Faith, Inc.; Howard Walsh; Jack Hofbauer	54503
April 1, 1985	Oil and Gas Associates; Ernst Wilcox; Harry Weindorf; Marry H. Katz	54447
April 1, 1985	Preferred Properties Investment Corp.	54434
April 1, 1985	American Commercial Securities Corp.	54433
April 1, 1985	Multi-Vest Corporation Kansas	54432
April 1, 1985	Parker Alexander & Co., Inc.	54431
April 1, 1985	First Interwest Securities Corp.	54430
April 1, 1985	School Street Fund Distributors Inc.	54429
April 1, 1985	J David Securities Inc.	54428
April 1, 1985	Cal Currens & Co.	54427
April 1, 1985	Pueblo Discount Brokerage Corp.	54426
April 1, 1985	Hackert/Modesitt Investments Ltd.	54425
April 1, 1985	First Financial Securities Inc.	54424
April 1, 1985	Bitting & Co., Inc.	54423
April 1, 1985	DMR Securities, Inc.	54422
March 14, 1985	Rex F Beasaw, Jr.	54411

March 14, 1985	Jon Gordon Eberenz	54410
March 14, 1985	Bradley Charles Stevens	54409
March 14, 1985	Anthony Sidney Pettigrew	54408
March 7, 1985	Exploration Systems International, Inc.; James Richard Bethel; Kevin Christopher Dodd; Harvey Edward Gartley	54400
March 5, 1985	Great Western Mining Development Corp.; Sommers & Hammond, Inc.; Wayne Stanley Hammond; Larry Jay Sommers	54399
February 28, 1985	Horace E. (Larry) Watkins; Judith M. Watkins	54389
January 31, 1985	Olumayokun Oso	54348
January 31, 1985	Eric Lionel Clayden; Raymond Alexander Clayden; Lowry Kowallis Flake; Sandy Kim Johnson	54347
January 31, 1985	GIC Securities Corporation	54346
January 23, 1985	Butch Davis; John Bacile; Bill Gibson; Larry Womack	54869
January 23, 1985	J. Earl Moore; Jim Pennington	54868
January 18, 1985	Quartz Engineering and Materials, Inc.	54331
January 3, 1985	Roy Allen Smith	54317
December 5, 1984	Edward and Charlotte Garrity, individually and d.b.a. Investments International; Executive I, II, III	54252
November 23, 1984	Parallax Enterprises, Ltd.; Parallax Energy Corporation; Robert Scott Farrell; Phillip M. Epstein; Timothy Dale Barnes; Jerry Lewinson	54246
November 21, 1984	United States Territories Bank and Trust	54245
November 20, 1984	Ari-Vest Financial, Inc.; Cal-Westerly Corporation; Dixon-NRG Systems "84-1"; Richard O. Carlson; Richard D. Dixon	54237
November 8, 1984	Lamar A. Dixon	54235
November 8, 1984	Balanced Financial Management, Inc.; Calvin K. Rickett	54234
September 12, 1984	John B. Sowers a.k.a. J. Bradford Sowers; Michael F. Lee; Petroleum Development Corporation	54174
April 12, 1984	Polaris International Metals Corporation; James N. Concannon	53996
March 28, 1984	Atlas Monetary International Trust; Odes J. Harwood; James L. Driver; L. Mills Beam	53960

March 10, 1984	Marvin L. McAnnally	53952
February 16, 1984	Keystone Mineral Sales, Inc.; Ron Hlavaty; Keystone Mining and Milling Co.	53926
January 27, 1984	Dillon Securities Inc.	53910
December 22, 1983	Ken Sandberg	53863
December 22, 1983	Paul Walstrom	53862
December 22, 1983	Donald Emrich	53861
December 22, 1983	The Larmer-Sykes Co., Inc.	53860
December 8, 1983	National Bullion & Coin, Inc.	53839
December 8, 1983	Wall Street West, Inc.	53838
September 26, 1983	MCS Telecommunications, Inc.	53749
September 7, 1983	Donald C. Decker; Equine America Corporation; Anthony V. Catanzaro a.k.a. Tony Orlandi	53734
August 26, 1983	Larry Little	53710
August 26, 1983	Dale Seacat	53709
August 26, 1983	Jonathan Jones	53708
August 26, 1983	Jack Bruso	53707
August 26, 1983	Freeman Financial Services	53706
August 26, 1983	Eagle Oil & Gas Corporation	53705
August 26, 1983	Robin Ballard; Richard Kamerling	53704
August 26, 1983	The Stratford Company; David Moore	53703
August 26, 1983	East-West Oil & Gas Corporation; Adam Hill; Ron Smith	53702
August 3, 1983	Johnson-Bowles Co., Inc.; Les Anderton; John Fivas	53672
August 3, 1983	Donald C. Decker; Equine America Corporation	53671

August 3, 1983	Troy-Kel Stables, Ltd.; William E. Bainum; Ben Campo, Jr.; William Michaels	53670
July 20, 1983	Terry Murphy; Michael James Roppo	53664
July 20, 1983	Vantage Securities of Colorado, Inc.	53663
July 20, 1983	Vantage Securities of Colorado, Inc.	53662
July 20, 1983	Robert Skold	53661
July 20, 1983	Michael Duane Hayes	53660
July 20, 1983	Clayton Jeffrey Thomas	53659
July 20, 1983	Robert Warren Wetzel	53658
July 20, 1983	Mike Regan	53657
July 20, 1983	Robert Joyce	53656
July 20, 1983	Terry Tyler	53655
July 20, 1983	Victor Walter Carper	53654
July 20, 1983	Nicholas Louis Arky	53653
July 20, 1983	George Thomas Ray	53652
July 20, 1983	David C. Pesnell; Dave Pesnell Enterprises, Inc.; Gregory R. Ciccolini	53639
June 2, 1983	National Securities Corp.	53599
June 2, 1983	David Edward Remark; Jerry Glenn Pogue; James Elias Ryan; Carole Jean Snelson	53598
June 1, 1983	Michael House; Burton Belf; Kevin Brandley; Mary Bergeron	53583
June 1, 1983	First Colorado Investments Securities, Inc.	53582
March 16, 1983	Gary L. Greenberg	53483
March 16, 1983	Courtright Company, a California limited partnership	53482
February 3, 1983	The Racon Group; West Washington Street Office Partners Limited (Phase One); Sam Radobenko	53435



January 19, 1983	U. S. Oil and Gas Corporation; Reggie Inkley; Steve Johnson; Mark Simpson	53430
January 5, 1983	Felix Roman Park, Jr.	53386
January 5, 1983	Charles Franklin Knight, II; Sentry Trust Company	53385
January 3, 1983	Azoco Limited; Azoco 6P-82; Petroleum Capital Corporation; PCC Hefley #1 Partnership; William G. Priess; Dale E. Tingley	53433
December 16, 1982	DuPont Oil Company; Dale Martin; Pam Myers	53345
September 30, 1982	North Star International	53232
September 30, 1982	David M. Anthony; Canadian Fidelity Finance Corporation	53231
September 17, 1982	Independent Oil Corporation; Steven J. Dykes	53216
September 17, 1982	Magnatex Corporation	53215
August 10, 1982	TEC Industries, Inc.; Michael Gharbi; Jerry McDougal; Terry Richards; Ray Patterson; Peter Anthony; Mike White	53161
August 10, 1982	National Coal Exchange, Inc.	53160
August 10, 1982	The Capital Fidelity Group; North American Coal Exchange, Inc.; Lawrence Morris; Jim Grey; Robert Litton	53159
August 10, 1982	Anthony Todd; John Kilpatrick	53158
July 7, 1982	Harry Pappas	53097
June 2, 1982	G. S. Omni Corporation	53065
April 1, 1982	Securities Clearing of Colorado, Inc.	52928
February 16, 1982	National Securities Corporation	53452
January 22, 1982	Stix & Co. Inc.	52752
November 19, 1981	DMR Securities, Inc.	52627
September 17, 1981	Grow Partnership I, Ltd.	52467
August 20, 1981	Mega Oil Corporation; William B. Newland; John McCamer	52396
August 12, 1981	Jay Robert Jablonski	52389

July 22, 1981	DMR Securities, Inc.	52342
July 22, 1981	DMR Securities, Inc.	52341
July 22, 1981	Blue Ribbon Tours--Arizona, Inc.; Robert Basil	52340
July 22, 1981	Hoba Plantations, Inc.; Hoba Plantation Development Co.; George S. Reed; Louis Evans; Fred M. Mitchell	52339
July 22, 1981	Dadecor, Inc.; Bertrand Garden Apartments, Ltd.; Oak Cliff Village North Apartments, Ltd.; Southdale Apartments, Ltd.; Village Oaks South Apartments, Ltd.; Brett M. Davis	52338
July 9, 1981	Pan American Express International, Ltd. a.k.a. Panamex International; Robert J. Doorn; Norman L. Cooper	52292
July 9, 1981	DMR Securities, Inc.	52210
June 17, 1981	Swink and Company, Inc.	52242
June 16, 1981	DMR Securities, Inc.	52210
May 5, 1981	Arizona Growth Investments I	52110
May 5, 1981	Farthing and Allan Mining Company, Inc.; Arthur H. Farthing; Harry F. Allan	52109
May 5, 1981	Ronald Allen Bacon	52108
April 21, 1981	Wilmot Robert Wiggins	52060
April 21, 1981	Dean Witter Reynolds, Inc.	52062
April 21, 1981	Southeast Diamond Corporation	52061
April 9, 1981	Peter J. Peter and Company	52056
March 31, 1981	Vacations International, Inc.; Blair J. Belsito; Mark Joseph Gutzwa; Robert E. Kelly; Charles A. Stafford; Roy Lee Davis	52008
March 3, 1981	Lad Mining Co., Ltd.; Donald R. Adams; Thomas Jack Deshazo	51902
March 3, 1981	Vacations International, Inc., et al.	51901
February 17, 1981	Gunnison Bank Holding Corporation	51870
February 3, 1981	Gordon Peil	51755
January 20, 1981	Jojoba Horizons, Inc.	51745

January 13, 1981	Sunpower Systems Corporation	51717
January 13, 1981	Merit Mortgage Group Ltd.; Benaron L. Gleiberman	51716
December 23, 1980	Jack Alan Gerber	51681
December 23, 1980	Buchanan & Co., Inc.	51680
December 23, 1980	Sno-Kone Industries, Inc.	51677
December 8, 1980	Arizona Property Fund	51632
December 8, 1980	Wagenseller & Durst, Inc.	51631
November 25, 1980	Jojoba Horizons, Inc.	51585
November 4, 1980	Source Securities Corporation	51523
October 21, 1980	Robert Oscar Hurford	51486
October 8, 1980	Equity Purchasing, Inc.; Dean B. Wolzen	51429
October 8, 1980	Lad Mining Company, Ltd.; Thomas Jack DeShazo	51428
October 8, 1980	Maurice Altshuler	51427
October 8, 1980	Wendell William Rote Jr.	51431
October 8, 1980	Richard L. Peelman d.b.a. Financial Specialist	51430
September 3, 1980	Douglas Birdsey Alberts	51323
September 3, 1980	David Lee Murrow	51322
June 30, 1980	Western Livestock Feeds, Inc.; Farm Fertilizers, Inc.; D. Loren Lake	51300
May 20, 1980	Sno-Kone Industries, Inc.; Jacob Daniel Davis	50977
April 22, 1980	Arthur E. Coates; Kino Partnership Ltd.; Arizona Film Corporation	50869
April 22, 1980	Tom Thumb Nursery Farms, Inc.; Tom Thumb Plant Centers, Inc.; Robert L. Fielding; Thomas Conte	50868
April 22, 1980	Guest Directories Company, Inc.; Mervin "Tommy" Syfert	50867

March 18, 1980	50 States Real Estate, Inc.; Richard L. Behner	50750
March 18, 1980	Edward R. Devlin	50749
March 18, 1980	Kenneth J. Kennedy	50748
February 29, 1980	Action Line of America, Inc.; Harley Thomas Herrin	50705
February 5, 1980	Robert William Gahn	50651