

Enforcement Orders 2004 – 2007

Date Filed	Company/Individual	Decision #
December 6, 2007	David A. Cockrell; Cockrell Investment Resource Associates, L.L.C.	70066
December 6, 2007	Donald P. Shoemaker; Michael J. Sagnelli	70065
December 6, 2007	Leonard Clark Rhodes, Jr.; Margaret Rhodes	70064
October 16, 2007	Interactive Technologies West, Inc.; Louis F. Conant, III; Kyle E. Gillman	69943
October 16, 2007	Agra-Technologies, Inc., a.k.a. ATI; William Jay Pierson a.k.a. Bill Pierson; Sandra Lee Pierson a.k.a. Sandy Pierson; William H. Baker, Jr., a.k.a. Bill Baker; Patricia M. Baker	69942
October 16, 2007	RYM Technology Holdings, L.L.C.; Felix L. Daniel, Sr.	69941
September 6, 2007	Leonard Francis Alcaro a.k.a. Lenny Alcaro	69900
September 6, 2007	Jerry Johnston Hodges; Lawrence Kevin Paille a.k.a. Larry Paille	69899
August 13, 2007	John Edward Tencza; Christine M. Tencza; American Elder Group, L.L.C.; American Elder Group, Inc.	69777
August 13, 2007	Gregory Grant Groh; Gail A. Groh	69776
August 13, 2007	Estate Protection Consultants, L.L.C.; Ramon Conrado Villa Vasquez a.k.a. Ray C. Villa a.k.a. Ray Villa; Maria J. Villa	69775
August 13, 2007	Richard Allen Campbell a.k.a. Dick Campbell; Sondra Jane Campbell	69774
July 18, 2007	Alonzo Russell d.b.a. Guardian Angel Advisers; Linda Russell	69706
July 18, 2007	Perry Penny; Terry Penny; Penny Financial, Inc.; Penny Properties, Inc.	69705
July 18, 2007	Mutual Benefits Corporation	69704
July 18, 2007	Denise Leyshon	69703
July 18, 2007	James W. Keaton, Jr.; Jennifer Keaton	69702
July 18, 2007	ACI Holdings, Inc.	69701
June 6, 2007	Phillip Robert Ohst; Mary Elizabeth Ohst	69641
June 6, 2007	Janalee Ranney Sneva d.b.a. Sneva Alliance	69640
May 1, 2007	John S. Mendibles; MGN Enterprises, Ltd.	69439

May 1, 2007	Trend Management Group, Inc.; Trend Capital, L.L.C.	69438
May 1, 2007	Easy Street Financial Group, Inc.; Scot Alan Oglesby; Lori Ann Oglesby; Christopher Ellis Marx	69438
March 2, 2007	Gary Wayne Hardy d.b.a. Hardy Asset Management; Hardy Asset Management	69356
February 1, 2007	Wachovia Capital Markets, L.L.C.	69294
February 1, 2007	David J. Leyshon d.b.a. Leyshon Capital Management d.b.a. Leyshon Capital Management, L.L.C.	69293
February 1, 2007	Clinton Goff a.k.a. Clint Goff; Warren Exploration, L.L.C.	69292
February 1, 2007	William Melvin Hawkins; Meta Funding, L.L.C.	69291
January 16, 2007	James Whatcott; Rita Whatcott	69236
January 16, 2007	Lucille Blitz	69235
January 16, 2007	John Blitz	69234
January 16, 2007	Mid America Energy, Inc.; Mid-America Oil & Gas, L.L.C.; Gary M. Milby a.k.a. Gary Moss Milby a.k.a. Gary M. Milley; Energy Marketing, Inc.	69233
November 14, 2006	Christopher Ellis Marx	69126
November 14, 2006	Scot Alan Oglesby; Lori Ann Oglesby	69125
November 14, 2006	Easy Street Financial Group, Inc.	69124
October 16, 2006	Agra-Technologies, Inc. a.k.a. ATI; William Jay Pierson a.k.a. Bill Pierson; Sandra Lee Pierson a.k.a. Sandy Pierson; Richard Allen Campbell a.k.a. Dick Campbell; Sondra Jane Campbell; William H. Baker, Jr. a.k.a. Bill Baker; Patricia M. Baker; Jerry Johnston Hodges; Lawrence Kevin Paille a.k.a. Larry Paille	69942
September 12, 2006	Thomas C. Messina a.k.a. Thomas Campbell Messina a.k.a. Tom C. Messina, and Donna M. Messina	68942
September 12, 2006	Lori Lee Spranger a.k.a. Lori Moriarty a.k.a. Lori Lee Levandowski a.k.a. Lori Gessel d.b.a. Vector 90 Debt Purchasing; Michael Moriarty d.b.a. Vector 90 Debt Purchasing	68941
September 12, 2006	Kenneth Duane Feldhacker	68940
September 12, 2006	Ameriprise Financial Services, Inc.	68939
August 7, 2006	Michael Giannantonio (a.k.a. Michael David Turley) individually and d.b.a. Nitefire Entertainment; Karen Lynn Turley; Nitefire Entertainment; SummitStar Entertainment L.P. d.b.a. SummitStar Films and/or SummitStar Films & Entertainment	68874
August 7, 2006	Syndicated Gold Depository, S.A.	68873
August 7, 2006	Parklane International Corporation	68872

June 26, 2006	H. Jon Kunowski d.b.a. Precision Model and Design, Inc. d.b.a. Air Lase, Inc. d.b.a. American Innovative Research, Inc.	68790
June 1, 2006	Mark Alan Melkowsky, Sr.; Eagle Communications, Inc.; Eagle One Financial & Tax, L.L.C.; Ronald Lee Goble d.b.a. Southwest Trust & Financial; Roger Lancette d.b.a. National Estate Service and Planning and Senior Advisory Services; Gary L. Christian d.b.a. Cornerstone Senior Planning; Hyland A. Stokes and Estate Planning Protection, Inc.; Wallace Butterworth d.b.a. Butterworth Advisory Services and Senior Advisory Services; William E. Bergh d.b.a. National Financial, Group; World Wide Business Opportunities, L.L.C.	68720
June 1, 2006	David L. McMillan	68717
June 1, 2006	Robert K. Rehm	68715
June 1, 2006	Paul J. Meka; Carol Meka	68714
March 6, 2006	Arthur B. Cooper; Linda Ebinger-Cooper	68511
March 6, 2006	David John Palen	68512
February 2, 2006	WSK Energy, L.L.C.	68462
February 2, 2006	Kevin H. Krause	68461
February 2, 2006	Kevin H. Krause	68460
February 2, 2006	Bruce R. Goldman d.b.a. Opulent Management Group d.b.a. Bravura Management Group, d.b.a. Zanadu Construction d.b.a. The Opulent Group; Opulent Properties, L.L.C. d.b.a. Opulent Properties; Mill Direct Flooring, L.L.C. d.b.a. Mill Direct Flooring; The Loan Xperts, L.L.C.	68459
December 5, 2005	Ameriprise Financial Services, Inc. f.k.a. American Express Financial Advisors, Inc.	68316
December 5, 2005	Michael R. Brooks; Maria Brooks	68315
November 8, 2005	Brixon Group, L.t.d.; Joseph Wayne McCool a.k.a. Joe McCool; Donald John Manning a.k.a. Don Manning	68270
October 25, 2005	Listo, Inc.	68230
October 25, 2005	Waddell & Reed, Inc.	68229
September 23, 2005	Ronald Earl Pfingsten; Sharlene N. Pfingsten	68161
September 23, 2005	Christopher D. Dedmon; Kimberly Dedmon; Omni Horizon Group, L.L.P.	68160
September 23, 2005	Robert Timothy Watt a.k.a. Tim Watt; Centenarios Gold, Inc.	68159
August 25, 2005	Arkad Investment Services, Inc. d.b.a. Arkad Investment Services	68099

August 25, 2005	Steven Lee Hutchinson	68098
August 25, 2005	Terri A. Sheehy	68097
August 25, 2005	Terry Couch	68096
August 25, 2005	Worldwide Forex, Inc.	68095
August 25, 2005	Universal FX, Inc.	68094
July 11, 2005	Mark J. Sheehy	67962
July 11, 2005	Tierra Group, a.k.a. Tierra Group Properties, a.k.a. Tierra Group Companies, a.k.a. Tierra Group, Inc.; Preservation Trust Corporation a.k.a. Preservation Corporation, a.k.a. Preservation Trust Company; Partnership Preservation Trust, a.k.a. Preservation Trust Corporation Limited Partnership; Caterpillar Foundation Properties, a.k.a. Caterpillar Foundation Properties Limited Partnership; Rene L. Couch	67961
June 9, 2005	Gary R. Shannon	67931
June 9, 2005	Scott Erick Langfitt	67930
June 9, 2005	Roy R. Golladay, Jr. d.b.a. The Investment Group; Ester Golladay; Check and Send, Inc.	67929
June 9, 2005	M.A.C. Investments, Inc.; M.A.C. Investment Sales, Inc.; M.A.C. Investments Sales, Inc.; Maricruz Alvarado a.k.a. Mariacruz Alvarado a.k.a. Maricruz Albarado; Aldemaro Gonzales Gamez a.k.a. Aldemaro Gonzalez; Maria Elena Gonzalez; Kevin Polardi	67928
May 26, 2005	Tierra Group; Preservation Corporation; Partnership Preservation Trust; Caterpillar Foundation Properties Limited Partnership; Rene L. Couch	67961
May 2, 2005	Lonzo Archer	67776
May 2, 2005	Thomas Weisel Partners, L.L.C.	67774
March 29, 2005	John E. Shannon; Rebecca F. Shannon	67728
March 29, 2005	Theodore A. Mietzner; Southwest Capital Advisors L.L.C.	67726
February 25, 2005	Samuel Isaiah Rodriguez; Golden Oak Marketing, Inc.	67607
February 25, 2005	John F. Klatt; Marilyn A. Klatt; Retirement Planning Center	67606
February 25, 2005	Deborah Lee Brugliera; Pristine Property & Investments, Inc.	67605
February 25, 2005	Troy S. Warren	67604
February 25, 2005	Deutsche Bank Securities, Inc.	67603

January 31, 2005	Victor Monroe Stockbridge	67539
January 31, 2005	David A. Fazio; Deborah Fazio; Fountain Capital Management L.L.C .	67538
January 31, 2005	Christopher S. Mee; Mee Diamond & Jewelry, Inc. d.b.a. Diamond Showcase	67537
January 31, 2005	Noel Eugene Cullison; Barbara Cullison; Solutions, Sources, & Consulting L.L.C.; Energy Savings Solution, Inc.	67536
November 23, 2004	Stephen A. Hiltbrand; Cheryl Hiltbrand	67431
November 23, 2004	James L. Oppenheimer; Sydney J. Oppenheimer	67430
October 20, 2004	Robert C. Frost; Robin Frost	67357
October 20, 2004	Rex E. Kuhn; Unity Financial, L.L.C.	67354
October 20, 2004	Intersecurities, Inc.	67353
October 20, 2004	Helen C. Hartze	67352
October 20, 2004	HCH Enterprise, L.L.C.	67351
August 24, 2004	Multi Media Technology Ventures, Ltd. a.k.a. MMTV, Ltd.; Biltmore Group, Inc.; Graham Inch; C. Ronald Paxson a.k.a. Charles R. Paxson; Chris Corbett	67221
August 24, 2004	Mark Kesler	67219
August 24, 2004	Donald Abernathy; Helen Abernathy	67218
August 24, 2004	Intergrowth Financial Group; Roger Alvin Sande	67217
August 24, 2004	Richard A. Fandrich	67215
June 29, 2004	Wesley Karban Wyatt d.b.a. The Financial Greenhouse	67088
June 29, 2004	Gregory Russell Brown; Karen Brown	67087
June 29, 2004	International Global Positioning, Inc.; John J. Madsen; Michael J. Coker	67086
June 29, 2004	Gary G. Johnson; Johnson Estate Planning Service, Inc.; Johnson Estate Planning Service L.L.P.	67085
May 24, 2004	James W. Dreos d.b.a. Dreos Financial Services; Esther Dreos	66995
May 11, 2004	Elliot Crosby	66965
April 21, 2004	Edmond L. Lonergan; Dolores Lonergan; Corporate Architects, Inc.	66934

April 21, 2004	Steven C. Bond; Cari A. Bond; B.B. Financial Benefits Group, Inc.	66933
March 23, 2004	Evelyn Baumgardner d.b.a. Your Living Trust; Michael Baumgardner	66859
March 23, 2004	Kathleen Whorley Sommer d.b.a. Sommer & Associates	66858
February 5, 2004	Citigroup Global Markets Inc. f.k.a. Salomon Smith Barney Inc.	66768
February 5, 2004	Robert Shakman; Healthcare Purchasing Alliance, Inc.	66767
February 5, 2004	Chris Hugh Rutland	66766
February 5, 2004	Global Trusts L.L.C.; Clyde F. Wagnon; Martha E. Wagnon	66765