

Enforcement Orders 2008 – 2016

Date Filed	Company/Individual	Decision #
December 12, 2016	Premier Asset Management Group, L.L.C.; Michael Berry Eckerman; Tonya Eckerman	n/a
December 5, 2016	Franklin AAA Holdings, L.L.C.	75822
December 5, 2016	Anthony Clavien	75821
December 5, 2016	David J. Escarcega (CRD #4367584)	75820
November 21, 2016	Brian C Hageman; Deluge, Inc.; Hydrotherm Power Corporation	75806
November 21, 2016	Gregory Allen McClain	75791
November 21, 2016	Marchant International Resources, Inc.; Kenneth White (a.k.a. Kenneth Whyte)	75790
October 4, 2016	WMF Management, L.L.C.; Woodbridge Group of Companies, L.L.C.; Woodbridge Mortgage Investment Fund 1, L.L.C.; Woodbridge Mortgage Investment Fund 2, L.L.C.; Woodbridge Mortgage Investment Fund 3, L.L.C.; Woodbridge Mortgage Investment Fund 3A, L.L.C.; Robert H. Shapiro; Robert W. Carfagno, Senior (CRD #2387162); Debra L. Carfagno; AIO Financial L.L.C.; William F. Holliday (CRD #4930333); Guadalupe A. Holiday	n/a
September 27, 2016	Jacob Wohl; Matthew Johnson; Wohl Capital Investment Group, L.L.C.; NeX Capital Management, L.L.C.; Montgomery Assets, Inc.	n/a
September 19, 2016	Delta FX Trade	n/a
June 29, 2016	Visionary Business Works, Inc. d.b.a. Fleetronix; Robert Brian Brauer; Melissa Brauer; Timothy John Wales; Stacey Wales	n/a
June 28, 2016	Gregory Allen McClain	n/a
June 27, 2016	Paul A. Steffany (CRD #1082262)	75600
June 27, 2016	Robert Turpin (CRD #1063249); Alleene Turpin	75599
May 13, 2016	Samuel A. Jones	75552
April 22, 2016	Henryk Jan Kunowski (a.k.a. H. Jon Kunowski and Jon Kunowski)	75519
April 22, 2016	Michelle Lee Wagner (CRD #2403647)	75518
February 23, 2016	Robert J. Moss; Jennifer L. Moss; The Fortitude Foundation; Ventures 7000, L.L.C.; Jeffrey D. McHatton; Starla T. McHatton; Robert D. Sproat; Kevin Krause; Vernon R. Twyman, Jr.	n/a
November 25, 2015	Red Mountain Funding, Inc.; Bryan J. Sammons; Mary L. Sammons	75335
November 25, 2015	Investment Acquisitions Group, L.L.C.; Jeffrey Heady; Amy Heady	75334

November 25, 2015	Marty O'Malley; Julie Unruh O'Malley	75333
November 25, 2015	Robert D. Bjerken	75332
November 25, 2015	Deer Park Development Corporation	75331
November 25, 2015	Biltmore Wealth Advisors, L.L.C.; James S. Miller; Elizabeth A. Miller	75330
October 27, 2015	Out Of The Blue Processors, LLC; Mark Steiner (CRD #1834102); Shelly Steiner	75314
August 26, 2015	USA Barcelona Realty Advisors, L.L.C.; USA Barcelona Hotel Land Company I, L.L.C.; Richard C. Harkins; Robert J. Kerrigan (CRD #268516); George T. Simmons; Janet B. Simmons; Bruce Orr	n/a
June 26, 2015	Michael J. Blake (CRD #2022161)	75127
April 23, 2015	James F. Liebes (CRD #2332174); Lanesborough Financial Group, L.L.C.	75024
March 16, 2015	Patrick Moran (CRD #1496354); Kelly Moran	74989
March 16, 2015	Timothy D. Moran (CRD #2326078); Patricia Moran	74988
February 9, 2015	Catharon Software Corporation; Betsy A. Feinberg; Michael A. Feinberg	74944
December 18, 2014	Seed Corporation; Randall Duane Simonson; Marilyn J. Simonson	74866
December 18, 2014	Jonathan James Murray; Wendy Lynn Murray	74850
December 18, 2014	Anthony Ray Stacy (CRD #1772484); April Stacy	74849
December 18, 2014	Legacy Financial Advisors, L.L.C.; Mark Dana Hughes (CRD #1843511); Dolly A. Hughes	74847
November 13, 2014	William N. Nordstrom; Linda Nordstrom	74828
November 13, 2014	SEED Corporation; Randall Duane Simonson; Marilyn J. Simonson; Karl Henry Rehberg (a.k.a. Shawn Pierce); Helen Rehberg (a.k.a. Lisa Pierce)	74827
October 24, 2014	Richard M. Schmerman (CRD #1302988) individually and d.b.a. Diversified Financial and/or Diversified Financial Planners; Amy Schmerman	74767
September 15, 2014	Shane F. Krauser; Janelle Krauser; Krauser Investment Group, L.L.C.	74751
September 15, 2014	Patrick Leonard Shudak	74743
August 12, 2014	Neoteric Energy, Inc.; Kevin D. Grace; and Madelynn R. Jones (CRD #4482773)	74696
June 20, 2014	Craig Randal Munsey; Marketing Reliability Consulting, L.L.C.; Denver Energy Exploration, L.L.C.; Michael Lee Christopher	74565

June 20, 2014	Monika Catlin (individually and as Trustee of the MLC Living Trust Dated 3-17-99); Damopa Investments, L.L.C.; Monika Catlin, L.L.C.	74553
June 2, 2014	Catharon Software Corporation; Betsy A. Feinberg; Michael A. Feinberg	n/a
May 23, 2014	Nordstrom Nordstrom I, Inc.; Nordstrom Imports, Inc.	74496
March 24, 2014	Neoteric Energy, Inc.; Kevin D. Grace; Madelynn R. Jones (CRD #4482773)	n/a
March 13, 2014	Todd R. Nuttall; Magdalena Homes, L.L.C.; Rotall Marketing Group L.L.C. d.b.a. Direct Rev Millionaire; Todd Robert Homes, Inc.	74405
February 27, 2014	Nathaniel J. Wilson	74375
February 26, 2014	Catharon Software Corporation; Betsy A. Feinberg; Michael A. Feinberg	n/a
January 29, 2014	Jon Joseph Bauman (CRD #5007841)	74303
January 29, 2014	James F. Liebes (CRD #2332174); Lanesborough Financial Group, L.L.C.	74302
January 7, 2014	Nicole Kordosky	74251
January 7, 2014	Thomas Laurence Hampton (CRD #2470192); Stephanie Yager; Hampton Capital Markets, L.L.C.	74240
January 7, 2014	Britt M. Lachemann (CRD #4375135)	74239
November 5, 2013	James F. Liebes (CRD #2332174); Lanesborough Financial Group L.L.C.	n/a
October 25, 2013	Weldon Beall; Weldon L.L.C.	74149
October 25, 2013	Ride Hard and Pray, L.L.C.; Robert J. Dudek (a.k.a. Bobby D. and Bobby Dudek); Renita G. Dudek	74148
October 25, 2013	Brian N. Buckley; Cheryl Barrett Buckley	74147
September 23, 2013	TV Products L.L.C. f.k.a. US Loans Negotiation L.L.C.; Stephen Christopher Donovan	74096
September 6, 2013	Nathaniel J. Wilson	n/a
August 16, 2013	Arizona Gold Processing, L.L.C.; AZGO, L.L.C.; Charles L. Robertson	74044
July 30, 2013	Patrick B. Hammons (CRD #1030468); Peri Ann Hammons (a.k.a. Peri Ann Brown); TF6 Advisors, L.L.C. d.b.a. TFG Advisors; Pacific Ventures and Trading L.L.C.	74018
July 30, 2013	Donna Kay Beers (CRD #1172038); James Beers	74017
July 30, 2013	Morrie S. Friedman; Judith Ann Friedman	74016
July 30, 2013	Promise Land Properties, L.L.C.	74015

June 27, 2013	Laverne J. Abe	73924
June 27, 2013	International Air Medical Services, Inc.; Thomas F. Kelley; Laura Kelley	73920
June 27, 2013	Christopher Dean Dedmon (CRD #3015575); Kimberly Dedmon; SDC Montana Consulting, L.L.C. (a.k.a., d.b.a., a.b.n. SDC Montana and SDC Montana Oil & Gas Exploration)	73919
June 27, 2013	3T Options, L.L.C.; Tyrone L. Brooks	73918
May 8, 2013	Casimer Polanchek	73867
May 8, 2013	Lynn R. Goldney (CRD #1325181); Valerie L. Goldney	73866
May 8, 2013	Robert R. Cottrell (a.k.a. Rob Cottrell); RSC Adventures, L.L.C.	73865
May 8, 2013	Crystal Pistol Resources, L.L.C.; Crystal Pistol Management, L.L.C.; Liberty Bell Resources, L.L.C.; Peter Pocklington; John M. McNeil	73864
March 21, 2013	Parker Skylar & Associates, L.L.C.	73784
March 21, 2013	David Shorey; Mary Jane Shorey; Westcap Energy, Inc. d.b.a. Westcap Solar	73775
March 21, 2013	Horizon Partners, L.L.C.; Tom Hirsch; Diane Rose Hirsch; Berta Freidman Walder a.k.a. Bunny Walder; Howard Evan Walder; Harish Pannalal Shah; Madhavi H. Shah	73768
February 20, 2013	Brian Patrick Langenbach; Sheri Lynn Barbara Langenbach; Earth Explorations, L.L.C.	73726
February 20, 2013	True North Business Ventures L.L.C.; Marvin Quinton; Krista Dianne Wilson	73725
February 7, 2013	Arizona Gold Processing, L.L.C.; AZGO, L.L.C.; Charles L. Robertson	n/a
February 6, 2013	Tri-Core Mexico Land Development, L.L.C.	73667
February 6, 2013	Pangaea Investment Group, L.L.C. d.b.a. Arizona Investment Center	73666
February 6, 2013	Joshua Trent (CRD #3096291) d.b.a. PHXINVEST; Derek Dahl d.b.a. PHXINVEST; Tasha Trent Dahl; Real Estate Monster, L.L.C.	73665
February 6, 2013	Andrew C. Menichino; Innovative Construction, Inc.; Atlantic Lexus, Ltd.	73664
February 6, 2013	Huel Cox (CRD #1638341)	73663
February 6, 2013	Thomas Brandon; Diane M. Brandon; Cell Wireless Corporation f.k.a. U.S. Social Scene; David Shorey; Mary Jane Shorey	73656
December 12, 2012	Ronnie Williams	73624
December 12, 2012	Edward L. Mazur	73623

December 12, 2012	Maglev Wind Turbine Technologies, Inc.; Maglev Renewable Energy Resources, Inc.; Renewable Energy Development, Inc.; Renewable Energy Systems, Inc.	73622
December 12, 2012	Deborah Cheryl Bennett (n.k.a. Deborah Cheryl Paura); A. James Bennett, M.D.	73621
December 12, 2012	Larry L. Goldman; MT Explorations, L.L.C.	73609
October 24, 2012	Joshua Trent (CRD #3096291) d.b.a. PHXiNVEST; Derek Dahl d.b.a. PHXiNVEST; Tasha Trent Dahl; Real Estate Monster, L.L.C.	n/a
October 16, 2012	Alonzo L. Russell; A.L. Russell & Associates L.L.C.; RE-STAR L.L.C.; RE-STAR Holdings L.L.C.	73552
October 16, 2012	Benjamin M. Cvetkovich; Sterling Investments Group International, L.L.C.; George A. Pruden; Janet F. Pruden	73550
October 16, 2012	Chazel Capital, Inc.; OFIR Mine Project, LP; Kyle K. Huskin	73549
September 21, 2012	Joshua Trent (CRD #3096291) d.b.a. PHXiNVEST; Derek Dahl d.b.a. PHXiNVEST; Tasha Trent Dahl; Real Estate Monster, L.L.C.	n/a
August 21, 2012	Morgan Financial, L.L.C.; Morgan Financial Lenders, L.L.C.; Jimmy Hartgraves, Jr.; Laurie Hartgraves	73358
August 21, 2012	Roger D. Woods; Jocelyn dela Cruz Clemente (a.k.a. Joy Clemente, Jocelyn Woods and Joy Woods); Phoenix Funding, L.L.C.	73341
August 21, 2012	Mountain State Power, Inc. d.b.a. Sovereign Energy Partners, Inc. and Sovereign Energy International	73340
July 30, 2012	Beverly Michele West; Ross West	73280
July 30, 2012	Southwest Biofuels, L.L.C.; Rick J. Jimenez; Susan C. Jimenez	73279
June 26, 2012	David E. Walsh d.b.a. New York Networks, Inc. (f.k.a. Jubilee Acquisition Corporation and as Caliper Acquisition Corporation), the New York Network, Inc., and The New York Networks, Inc.; Lorene Walsh	73246
April 25, 2012	Chazel Capital, Inc.; OFIR Mine Project, LP; Kyle K. Huskin	n/a
April 17, 2012	G4i Capital Partners, Inc. a.k.a. GCFI Group	73119
April 17, 2012	James F. Curcio; Jill L. Curcio; AZIN Investor Group, L.L.C.; AZIN Investor Group II, L.L.C.; AZIN Investor Group III, L.L.C.; AZIN Investor Group IV, L.L.C.; Combined Holdings IV, L.L.C.; Combined Holdings V, L.L.C.	73118
April 17, 2012	Arthur Fried	73117
April 17, 2012	Robert Coleman Stephens a.k.a. Bob Stephens	73116
April 17, 2012	Kent M. Axtell d.b.a. Sherlock Homes and Finding Homes for Investors; Janis C. Axtell; Executive Real Estate Solutions, L.L.C.	73115
April 6, 2012	Arizona Gold Processing, L.L.C.; AZGO, L.L.C.; Charles L. Robertson	n/a
March 16, 2012	Steven M. Netzel (CRD #2863170)	73061

March 16, 2012	E*TRADE Securities L.L.C.	73060
March 16, 2012	Comprehensive Cash Flow Funding, Inc.; WeBuyHomesInAZ, L.L.C.; My Bargain Gift Bag, L.L.C. f.k.a. Brooklyn Boys Ventures, L.L.C.; Loan Mod Shrink, L.L.C. f.k.a. Escalade Ventures, L.L.C.	73059
February 24, 2012	MAG T Inc.; RLGMAN Corp.; Stable, L.L.C.; Richard L. Green; Donald Andrew Rothman	72901
February 24, 2012	Brian Matthew Borakowski (CRD #4093679); Natalya Borakowski, Echo Canyon L.L.C.	72900
February 24, 2012	George Alexander Kardaras (CRD #3184384)	72899
February 22, 2012	Out of the Blue Processors, L.L.C. d.b.a. Out of the Blue Processors II, L.L.C.; Mark Steiner (CRD #1834102); Shelly Steiner	n/a
February 2, 2012	Edward Joseph Barsano a.k.a. Ed Barsano; Jeanne Barsano; CoolTrade, Inc.	72804
February 2, 2012	Terry L. Samuels; Elisabeth Samuels; 3-CG, L.L.C.; Choice Property Group, L.L.C.	72803
January 30, 2012	SouthWest BioFuels, L.L.C.; Rick J. Jimenez; Susan C. Jimenez	n/a
January 12, 2012	Mountain State Power, Inc. d.b.a. Sovereign Energy Partners, Inc. and Sovereign Energy International	n/a
January 11, 2012	Roger D. Woods; Jocelyn Dela Cruz Clemente (a.k.a. Joy Clemente, Jocelyn Woods, and Joy Woods); Phoenix Funding, L.L.C.	n/a
December 20, 2011	Thomas Laurence Hampton (CRD #2470192); Stephanie Yager; Hampton Capital Markets, L.L.C.	n/a
November 10, 2011	Thomas Laurence Hampton (CRD #2470192); Jane Doe Hampton; Hampton Capital Markets, L.L.C.	n/a
October 14, 2011	Fred Otto Bohn; Marsha Bohn; Capital Oil & Gas, Limited (a.k.a. Capital Oil & Gas, Ltd, f.k.a. Omni Petroleum Limited)	72623
September 15, 2011	Ulf Olof Holgersson d.b.a. Viking Asset Management	72588
September 15, 2011	Jere Parkhurst d.b.a. C-Street Financial Group and C-Street Development, L.L.C.; Michelle Parkhurst; C-Street Holdings, L.L.C.; Phoenix Financial Holdings, L.L.C.	72583
August 17, 2011	Gary Patrick Duffy (CRD #1779786); The Investment Advisory Group, L.L.C.	72526
August 17, 2011	Joseph Cosenza; U.S. Media Team, L.L.C.	72525
August 17, 2011	Rodolfo Alvarez (CRD #4375595); Laura Gonzalez	72524
August 3, 2011	Attila G. Toth (CRD #2565633); Erin M. Hall	72507
June 22, 2011	Arthur Brent Payne; Michael Richard Olson; Granite Loan Fund, L.L.C.; Carolyn L. Payne; Jane Doe Olson; Steeple Rock Funding, L.L.C.	72427
June 22, 2011	Scott Ryan Tischler (CRD #3248953), individually and d.b.a. Jericho Capital Group; Jericho Oil & Gas L.L.C.; Lake Valley Petroleum L.L.C.	72426

June 22, 2011	Jerry Martin Tolle, Sr.; Cashflow Investment Properties, L.L.C.; Jason Mendoza (CRD #5528287)	72425
June 22, 2011	Christopher A. Jensen; Julie Shayne Jensen; Rodolfo Preciado; Linda Marie Preciado	72424
May 23, 2011	Craig Randal Munsey; Jane Doe Munsey; Marketing Reliability Consulting, L.L.C. d.b.a. MRC L.L.C.; Denver Energy Exploration, L.L.C.	n/a
May 4, 2011	Joseph Mack; Helen Marie Mack; Mack Financial Group, L.L.C.; Darin Whittington (CRD #2569037); Gina Whittington	72284
April 15, 2011	Energetics, Inc.; Steven P. Giuffrida; Michelle Giuffrida	72266
April 15, 2011	Ethan Sturgis Day; Theresa Day; Silversprings Real Estate Development & Investments, L.L.C. f.k.a. Silverleaf Real Estate Development & Investments, L.L.C.; Desert Oasis Condominium, L.L.C.; The Mayan Resort & Casino, L.L.C.	72265
April 15, 2011	Rob Thomas Hitchcock (CRD #2946739); d.b.a. Pillar Investment Services; Shelly Hitchcock	72264
April 15, 2011	Robert Preston Ingram; Cruzita A. Ingram a.k.a. Cruzita A. Carrillo	72263
April 15, 2011	Mark Steven Moroney; Linda Sue Moroney	72262
March 21, 2011	Kenneth Joseph Plein; Mary Kathryn Plein; Kenneth Joseph Plein and Mary Kathryn Plein, Co-Trustees of The Plein Family Trust U/T/A dated December 1, 1993; Plein Enterprises Incorporated	72238
March 21, 2011	David Come Viens; Scott Andrew Klaschka; Assisted Living Development Company, Inc.; ALDCO Investment #2 L.L.C.; ALDCO Investment #3 L.L.C.; ALDCO Investment #4 L.L.C.; ALDCO Investment #5 L.L.C.; ALDCO Investment #6 L.L.C.; ALDCO Investment #10 L.L.C.	72236
March 21, 2011	USDB Group Inc. a.k.a. US Deposit Brokers Group a.k.a. USDB; Hartawan Widayatmo	72235
March 21, 2011	Edwin A. Sanchez; Melissa Sanchez; Gregory Rigby; New Rise Investments, L.L.C. (f.k.a. New Egg Investments, L.L.C.); AZ Real Estate Group, L.L.C.	72234
March 21, 2011	King Solomon Mining, L.L.C.; Daniel F. Thompson, Sr.; Robin Ann Thompson; Lisa A. Shackley	72233
March 3, 2011	Charlevoix Homes L.L.C.; Michael Roberts	72212
March 3, 2011	Five Star Capital Markets L.L.C.; James Piccolo; Mary Elizabeth Piccolo	72211
March 3, 2011	Craig Cottrell; Andrea Cottrell	72210
March 3, 2011	Theodore J. Hogan & Associates, L.L.C. a.k.a. Ted Hogan and Associates; Theodore J. Hogan a.k.a. Ted Kills in the Fog; Christina L. Damitio a.k.a. Christina Hogan	72209
March 3, 2011	Mario K. Reed; Phoenician Entertainment, L.L.C.	72206
March 3, 2011	Wayne Scott Clague; Karen Stensler f.k.a. Karen Clague	72205
February 2, 2011	Edward Joseph Barsano a.k.a. Ed Barsano; Jeanne Barsano; Robert Coleman Stephens a.k.a. Bob Stephens; Jane Doe Stephens; CoolTrade, Inc.	n/a
February 2, 2011	Jerry Martin Tolle, Sr.; Jane Doe Tolle; Cashflow Investment Properties, L.L.C.; Jason Mendoza (CRD #5528287); Jane Doe Mendoza	n/a

December 30, 2010	Scott Ryan Tischler (CRD #3248953) d.b.a. Jericho Capital Group; Jane Doe Tischler; Jericho Oil & Gas, L.L.C.; Lake Valley Petroleum, L.L.C.	n/a
December 22, 2010	Edwin A. Sanchez; Melissa Sanchez; Gregory Rigby; Jane Doe Rigby; New Rise Investments, L.L.C. f.k.a. New Egg Investments, L.L.C.; AZ Real Estate Group, L.L.C.	n/a
December 16, 2010	King Solomon Mining, L.L.C.; Daniel F. Thompson, Sr.; Robin Ann Thompson; Lisa A. Shackley	n/a
December 10, 2010	Arthur Brent Payne; Carolyn L. Payne; Michael Richard Olson; Jane Doe Olson; Steeple Rock Funding, L.L.C.; Granite Loan Fund, L.L.C.	n/a
December 10, 2010	Norstreet Portfolio, L.L.C.; Nathan Nordstrom; Lorrie Beckham (f.k.a. Lorrie Nordstrom)	72044
December 10, 2010	Thurston Smith; B.Y.B. Entertainment, L.L.C.	72038
December 10, 2010	Bobby G. Goodson	72037
November 08, 2010	Robert W. Mangold; Michelle M. Mangold; One Source Mortgage & Investments, Inc.; Strategic Equity Investments, L.L.C.	71964
November 08, 2010	Barron Wilson Thomas; Barron Thomas Scottsdale, L.L.C.; Barron Thomas Aviation, Inc.; Barron Thomas Aviation Holdings, Inc.; Barron Thomas Southwest, Inc.	71963
November 08, 2010	Brian Patrick Langenbach; Sheri Lynn Barbara Langenbach	71962
November 08, 2010	Malika S. Smith; CAA General Partnership	71961
October 12, 2010	Michael T. Bell; Shawn R. Salazar; Adamas Investments, L.L.C.	71921
October 12, 2010	Carol Dee Aubrey; Progressive Energy Partners, L.L.C.; Progressive Energy Partners, L.L.C. #1; Progressive Energy Partners, L.L.C. #2; Progressive Energy Partners, L.L.C. #3; Progressive Energy Partners, L.L.C. #4	71920
October 12, 2010	Five Star Tree Service and Landscapes, L.L.C.; Richard McCullum Jr.; Leah Atwood	71919
October 12, 2010	Rick Sellman; Sellman Weis Mortgage & Investment Corporation	71918
October 12, 2010	Lamel G. Young a.k.a. Mel Young individually and d.b.a. Powerball Records & Entertainment	71916
October 12, 2010	Steven Dale Morrey; Jennifer Morrey; Mayet Holdings, L.L.C.	71915
August 25, 2010	Global Trading Partners, L.L.C.; Michael Eugene Gowens	71852
August 25, 2010	Grand Canyon Land Company, L.L.C.; Grand Canyon Theme Park Holdings, L.L.C.; Grand Canyon Theme Park Investments, L.L.C.; Jorge Adan Cordova; Cornelis Jan Buitenhuis; Wendy Buitenhuis	71851
August 25, 2010	Todd Allan Hoss	71850
August 25, 2010	La Bella Investments, L.L.C.; James Mitchell	71849
August 25, 2010	MJG Enterprises, Inc.; Anthony Boscarino; Marguerite Jeane Gerhart	71848



August 3, 2010	Five Star Tree Service and Landscapes, L.L.C. a.k.a. Five Star Tree Service; Richard McCullum, Jr.; Leah Atwood	n/a
August 2, 2010	Steven Dale Morrey d.b.a. Mayet, Inc.; Jennifer Morrey; Mayet Holdings, L.L.C. d.b.a. Mayet Holdings, Ltd.	n/a
July 12, 2010	Kenneth Williams d.b.a. KWD Commercial Construction Services	71775
July 12, 2010	Kyle Schmierer d.b.a. Amadin	71774
July 9, 2010	Lamel G. Young a.k.a. Mel Young d.b.a. Powerball Records & Entertainment; Jane Doe Young	n/a
June 21, 2010	Wells Fargo Investments, L.L.C.	71773
June 21, 2010	Sports Dimensions, Inc.; Marc Hubbard	71772
May 26, 2010	La Bella Investments, L.L.C.; James Mitchell; Deseree T. Mitchell	n/a
May 21, 2010	Kenneth Williams d.b.a. KWD Commercial Construction Services; Jane Doe Williams	n/a
May 17, 2010	Troy Dee Truvillion; Jenia Demitrova	71703
May 17, 2010	World Group Securities, Inc., (CRD #114473); Terry E. Wengert (CRD #2569257)	71700
May 17, 2010	UBS Securities L.L.C.; UBS Financial Services Inc.	71699
May 17, 2010	Goldman, Sachs & Co.	71698
May 17, 2010	Rodney Peterson; Virginia Peterson	71697
May 17, 2010	Michael Vincent Ring; Kelly Ring; Elysium Capital Group, L.L.C.	71696
May 17, 2010	Cindy Bradford (a.k.a. Cindy White)	71695
April 28, 2010	Larry Wayne Ziegler; Motion DNA, Inc.	71684
April 28, 2010	Secure Resolutions, Inc.	71683
April 28, 2010	Radical Bunny, L.L.C.	71682
April 28, 2010	Richard Miles Dorman; Rebecca Dorman; Elysium Capital Group, L.L.C.	71681
April 28, 2010	American National Mortgage Partners, L.L.C.; Secura Innovative Investment, Inc.; Secura Mortgage Management, L.L.C.; Cash Flow University, Inc.; Secura Fund Arizona, L.L.C.; Larry William Dunning; Sheila Dunning; Phil Vigarino; Jane Doe Vigarino; Robert K. Rehm; Mark Kesler; Jane Doe Kesler; Frank Caspare; Gail Caspare	71680
April 20, 2010	Global Trading Partners, L.L.C.; Michael Eugene Gowens; Jane Doe Gowens	n/a

<a href="#">April 8, 2010</a>	Douglas Cottle; Kyla Cottle	71601
<a href="#">April 8, 2010</a>	Miko D. Wady; Jennifer L. Savage (f.k.a. Jennifer L. Wady); Nato Enterprises, L.L.C.	71600
<a href="#">April 8, 2010</a>	John W. Pacheco; Angela Pacheco; Financial American Corporation; The Financial American Group, L.L.C.; American Apartment Fund XI, LP	71598
<a href="#">February 23, 2010</a>	Erin M. Sir	71497
<a href="#">February 23, 2010</a>	Stephen G. Van Campen; Diane V. Van Campen	71496
<a href="#">February 23, 2010</a>	Sir Mortgage & Finance of Arizona, Inc.; Gregory M. Sir (a.k.a. Greg Sir)	71495
<a href="#">February 23, 2010</a>	Michael C. Reynolds; Cash 2 U, L.L.C.; Dos Ninas, L.L.C.; Par 3 Management, L.L.C.; Tanzia Reynolds	71494
<a href="#">February 23, 2010</a>	Scot A. Oglesby and Lori Ann Oglesby	71493
<a href="#">February 23, 2010</a>	Green Panel Corporation; Joseph Samuel Burton; Bonnie Eileen Burton; Panelized Building Systems of Prescott, L.L.C. (a.k.a. "Panelized Building Systems")	71492
<a href="#">February 23, 2010</a>	Rex G. Wheeler, Jr.	71491
<a href="#">February 23, 2010</a>	Steve John Rogan; Carol Ann Richey; Dem Bonz Barbeque Restaurants, L.L.C.; Pizazz, L.L.C.	71490
<a href="#">December 17, 2009</a>	Five Star Tree Service and Landscaping, L.L.C.; Richard McCullum, Jr.; Leah Atwood	n/a
<a href="#">December 8, 2009</a>	Robert Bornholdt	71428
<a href="#">December 8, 2009</a>	Randy K. Ward; Sharon Ward	71427
<a href="#">December 8, 2009</a>	Merrill Lynch, Pierce, Fenner & Smith Incorporated	71426
<a href="#">December 8, 2009</a>	Morgan Stanley & Co. Incorporated	71425
<a href="#">November 13, 2009</a>	West Mining and Innovations, Inc.; Avison C. (AC) West; Barbara West	71336
<a href="#">November 13, 2009</a>	Thomas Anthony Labry d.b.a. Iron Horse Petroleum, Inc.	71335
<a href="#">November 13, 2009</a>	Robert Franklin Hockensmith Jr., (CRD #1798614)	71334
<a href="#">November 13, 2009</a>	Credit Suisse Securities (USA) L.L.C.	71333
<a href="#">November 13, 2009</a>	Frank Caspare	71332
<a href="#">November 13, 2009</a>	Helmut Weber (d.b.a. Weber Capital Management); Vera Weber	71331
<a href="#">October 21, 2009</a>	Bill L. Walters; Jacquelyn Walters	71305

October 21, 2009	Jordan Crossing Properties, L.L.C.; Chris Blackford; Nicole Blackford	71304
October 21, 2009	Jolleen K. Hansen; Nathan E. Hansen; Thomas S. Blackwell (CRD #4370822); Kimberly Blackwell; Deluxe Designs International, L.L.C.; Deluxe Live Productions	71303
October 21, 2009	Thomas S. Blackwell (CRD #4370822); Kimberly Blackwell; Team Heat, L.L.C.	71302
October 21, 2009	Phil Vigarino	71301
October 21, 2009	Mark Kesler	71300
October 21, 2009	Lamont C. Patterson II a.k.a. Folo Patterson d.b.a. Olof Enterprises; Eletrea L. Patterson; Olof Enterprises, L.L.C.	71299
September 24, 2009	Sir Mortgage & Finance of Arizona, Inc.; Gregory M. Sir a.k.a. Greg Sir; Erin M. Sir	n/a
September 17, 2009	Ferenc ("Frank") J. Csampai	71280
September 17, 2009	Nicholas S. Ballard; Oasis of Wealth, Inc.	71279
September 17, 2009	JP Morgan Chase & Co.	71278
August 20, 2009	Jordan Crossing Properties, L.L.C.; Chris Blackford; Nicole Blackford	n/a
August 20, 2009	Dona Kuryanowicz	71251
August 20, 2009	Jeffrie Harper (CRD #2863910); (a.k.a. Jeff Harper); Kathleen Janice Harper	71250
August 20, 2009	Deutsche Bank Securities, Inc.	71249
August 20, 2009	Rick McCullough d.b.a. McCullough Insured Investments; The Kodiak Investment Group, L.L.C.; Anita Geneva McCullough a.k.a. Anita G. Maestas	71248
July 16, 2009	RBC Capital Markets Corporation	71216
July 16, 2009	Dustin J. Lunt (CRD #4705919); Kami E. Lunt; DJL & Associates, L.L.C.	71215
June 16, 2009	Wolfepack Transportation, Inc.; Michael L. Hairston, Sr.; Sheila Hairston	71165
June 16, 2009	Owen A. Vilan; Lucina Vilan a.k.a. Lucy Vilan; Saguaro Investments, Inc. f.k.a. Vilan Enterprises, Inc.	71164
June 16, 2009	Gerald Edwin Patchen II	71163
June 16, 2009	Merrill Lynch, Pierce, Fenner & Smith Incorporated	71162
June 16, 2009	Jerome William Carter d.b.a. Good Only Done Productions, L.L.C.; The Greatest Only Divine Productions, L.L.C.	71161
June 16, 2009	Leonard Francis Alcaro a.k.a. Lenny Alcaro; Mary Brigid Lavin Alcaro	71160

May 21, 2009	Banc of America Securities L.L.C.; Banc of America Investment Services, Inc.	71071
May 21, 2009	Michael V. Bradley (CRD #4605220); Wealth Enhancement & Preservation, L.L.C., (CRD #131808)	71070
May 21, 2009	Donald Robert Mattson a.k.a. Rob Mattson	71069
May 21, 2009	Knuckleball Capital Management, L.L.C.	71068
May 21, 2009	Dan Wise; Cynthia Wise; Whispering Winds Properties, L.L.C.; LM Beagle Properties, L.L.C.; Karlena, Inc.; Axis International, Inc.	71067
May 21, 2009	Woodbury Financial Services, Inc., (CRD #36407)	71066
May 20, 2009	Green Panel Corporation; Joseph Samuel Burton; Bonnie Eileen Burton; Panelized Building Systems of Prescott, L.L.C. (a.k.a. "Panelized Building Systems")	n/a
April 21, 2009	Citigroup Global Markets, Inc.	70968
April 21, 2009	David W. Cole; Siiri Cole; Highline Estates, L.L.C.; Mutual Financial Services, L.L.C.; Dream Craft, L.L.C.	70967
April 21, 2009	Trademark Capital Management, L.L.C.; Blue Investments, L.L.C.; Travis Richey; Melissa Boyd	70966
March 27, 2009	Sports Dimensions, Inc.; Marc Hubbard; Jane Doe Hubbard	n/a
March 24, 2009	Cosas Management Group, L.L.C.; Gene Laurell Lines; Suzanne Lines	70897
March 24, 2009	Wachovia Securities, L.L.C.; Wachovia Capital Markets, L.L.C.	70896
March 24, 2009	Randie Balbas; Leila Balbas	70895
March 24, 2009	Southern Homes, L.L.C.; Charles Bruce Ferguson	70894
March 13, 2009	West Mining and Innovations, Inc.; Avison C. (AC) West; Barbara M. West	n/a
February 23, 2009	Mark A. Westerfield; Victoria H. Westerfield	70755
February 23, 2009	Scott Hutchinson; Marine 3	70754
February 23, 2009	Mayra Jeanette Angulo (CRD #2221337); Mark Islas (CRD #1953882); d.b.a. International Financial Services Group	70753
February 23, 2009	Brett S. Kleese; Katherine D. Kleese; BSK Enterprises, L.L.C.	70752
February 23, 2009	James Jonathon Fraser Buchanan; Lori A. Buchanan	70751
February 18, 2009	Steve John Rogan; Carol Ann Richey; Dem Bonz Barbecue Restaurants, L.L.C.; Pizazz, L.L.C.	n/a
January 29, 2009	Kyle Schmierer d.b.a. Amadin; Jane Doe Schmierer	n/a

January 16, 2009	Nicholas (Nick) S. Ballard d.b.a. Oasis of Wealth, Inc.; Oasis of Wealth; AZ Gold & Safaris, Inc.; Jane Doe Ballard	n/a
December 22, 2008	Gregg L. Wolfe; Allison A. Wolfe; Nakami Chi Group Ministries International	70657
December 22, 2008	Edward A. Purvis; Maureen H. Purvis	70656
December 9, 2008	Reserve Oil & Gas, Inc.; Allen C. Stout; Eugenia Stout	70630
December 9, 2008	Dean A. Severns; Cheryl E. Severns; Severns Properties, L.L.C.; Severns Capital, L.L.C.; J. Dean, L.L.C.	70634
December 9, 2008	Patrick Allen Roberts; Sheri L. Krouse; Motors De Amigos; Rock'n R Car Company Enterprises, Inc.	70633
December 9, 2008	James Leroy Costello; Linda S. Costello	70632
December 9, 2008	Stanley Lane Boblett	70631
November 5, 2008	Gerald Edwin Patchen II; Jane Doe	n/a
October 8, 2008	Pacific Coast Holding Company; Hall of Fame Partners, L.L.C.	70548
October 8, 2008	Guillermo Ricardo De La Vara; Mortgage Notes, Inc.; MNI Properties, L.L.C.; Erlinda De La Vara	70547
October 8, 2008	CAG Capital, Inc.; Kim K. Collins	70546
October 8, 2008	Cindy Bradford a.k.a. Cindy White	70544
October 8, 2008	Richard Bradford (CRD #2706290)	70545
October 8, 2008	Property Quest DJE, Inc.; Donald J. Emmons III; Stacy S. Emmons	70549
September 18, 2008	Jerome William Carter d.b.a. Good Only Done Productions, L.L.C.; Jane Doe Carter; The Greatest Only Divine Productions, L.L.C.	n/a
September 12, 2008	Helmut Weber d.b.a. Weber Capital Management; Vera Weber	n/a
September 12, 2008	Patrick Allen Roberts; Sheri L. Krouse; Motors De Amigos, Inc.; Rock'N R Car Company Enterprises, Inc. d.b.a. R&R Remarketing	n/a
August 28, 2008	Guillermo Ricardo De La Vara a.k.a. William De La Vara and Bill De La Vera d.b.a. Mortgage Notes; MNI Properties, L.L.C.; Erlinda De La Vara a.k.a. Erlinda G. Lopez	n/a
August 21, 2008	Robert N. Neklewicz a.k.a. Robert Neil Stock (CRD #8984776)	70467
August 21, 2008	Eric Charles Zimmerman a.k.a. Eric Zimmerman; Penelope Zimmerman a.k.a. Penny Zimmerman	70466
August 12, 2008	Antonia Boblett a.k.a. Toni Boblett and/or Antonia Loera-Marks	n/a
July 28, 2008	Kuypow, Inc. d.b.a. Mo's Properties & Investment Group; Morris Clyde Kuykendall a.k.a. MO; Judy E. Powers	70439

July 22, 2008	Trademark Capital Management, L.L.C.; Blue Investments, L.L.C.; Travis Richey; Melissa Boyd	n/a
June 20, 2008	Lori Darlene Jordan a.k.a. Lori Herndon	70391
June 20, 2008	Panama Capital Funding, L.L.C.; Benjamin Ray O'Toole; Jarisa H. Garcia; Christopher Shane Strickland; Claudia J. Masters	70390
June 20, 2008	Donald Anthony Tomasian a.k.a. Donald Anthony Tomasian, Jr. and Bella Funding, L.L.C.	70389
April 29, 2008	Michael Andrew Dawes	70324
April 29, 2008	Ryan James Herndon	70321
April 29, 2008	Scott Renny Bogue, Sr.	70320
April 29, 2008	G'ieber Financial, L.L.C.; David A. Gotlieb; Stacey Scibelli-Gotlieb	70319
April 29, 2008	Linda Dawes	70318
April 29, 2008	Cameron Guy Campbell; Nanette Campbell	70317
April 24, 2008	Leonard Clark Rhodes, Jr.	CV2007-013805
March 27, 2008	Kenneth Howard Fraleigh; Linda Jean Fraleigh	70219
March 27, 2008	Donna Marie Shurot	70217
March 27, 2008	Morgan Stanley & Co. Incorporated	70216
March 27, 2008	Lingerie Nights DVD Magazine, L.L.C.; Raymond Javier Duran; Richard B. Cuen	70215
March 27, 2008	Linda Bryant Jordan a.k.a. Linda Van Vranken a.k.a. Linda Jordan-Van Vranken	70214
March 20, 2008	Panama Capital Funding, L.L.C.; Benjamin Ray O'Toole; International Funding Network; Panagreen Bio Fuels, Inc.; Algaecake Technologies Corporation; Jane Doe O'Toole; Christopher Shane Strickland; Jane Doe Strickland	n/a
March 10, 2008	Diamond Bay Investments, Inc.; Jonathan Jordan Wirsz	70187
March 10, 2008	Kelly J. Waters; Daniel B. Waters; Kelly's Mobile Homes Sales, Inc.	70190
March 10, 2008	Michael Joseph Hannan, a.k.a. Michael Hannan, Mike Hannan, Michael J. Hannan, II; Janice C. Hannan	70189
March 10, 2008	Veronica Alexandra Leigh f.k.a. Candice Anna Gill; Charles William Gill III; Charles Gill; Chuck Gill; CAG Financial, L.L.C.; CAG Financial Services, L.L.C.; Leigh & Associates, L.L.C.	70188
February 28, 2008	Kuypow, Inc.; Mo's Properties & Investment Group; Morris Clyde Kuykendall; Mo Kuykendall; Judy E. Powers	n/a

February 27, 2008	Asset Salvation Group, L.L.C.; Jack Robert Erickson, Sr; Jane Doe Erickson; JRE Holdings Trust; Dust to Dream Development Group, L.L.C.	n/a
January 31, 2008	Ronald J. Strayer a.k.a. RJ Strayer; Jeffrey Stanford Ryan; Lisa Scott; RJSR Land Development CR	70158
January 15, 2008	Lingerie Nights DVD Magazine, L.L.C.; Raymond Javier Duran; Jane Doe Duran; Richard B. Cuen; Jane Doe Cuen	n/a