

1 PRESTON DuFAUCHARD
California Corporations Commissioner
2 ALAN S. WEINGER (CA BAR NO. 86717)
Deputy Commissioner
3 MICHELLE LIPTON (CA BAR NO. 178078)
Senior Corporations Counsel
4 DEPARTMENT OF CORPORATIONS
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5 Los Angeles, California 90013-2344
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7 Attorneys for Complainant

8 BEFORE THE DEPARTMENT OF CORPORATIONS
9 OF THE STATE OF CALIFORNIA

11	In the Matter of)	CASE NO.: 2010110238
12	THE CALIFORNIA CORPORATIONS)	FILE NO. 923-6045
13	COMMISSIONER,)	ORDER BARRING BRIAN D. GIBBS FROM
14	Complainant,)	ANY POSITION OF EMPLOYMENT,
15	v.)	MANAGEMENT OR CONTROL OF ANY
16	BRIAN D. GIBBS,)	INVESTMENT ADVISER, BROKER-
17	Respondent.)	DEALER OR COMMODITY ADVISER
18)	
19)	

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21 Pursuant to the Stipulation Agreement entered into between The California Corporations
22 Commissioner (COMMISSIONER) and Brian D. Gibbs (“GIBBS”), GIBBS is hereby:

23 1) Barred for 3 years from any position of employment, management or control of any
24 broker-dealer, investment adviser or commodity adviser pursuant to Corporations Code section
25 25232.1;

26 2) Disallowed from petitioning the COMMISSIONER for reinstatement or reduction of
27 penalty as provided in and subject to the provisions of Government Code section 11522; and

ORDER BARRING BRIAN D. GIBBS FROM ANY POSITION OF EMPLOYMENT,
MANAGEMENT OR CONTROL OF ANY INVESTMENT ADVISER, BROKER-DEALER OR
COMMODITY ADVISER

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3) Disallowed from ever applying to become registered with the state of California as an investment adviser, investment adviser representative or associated person of an investment adviser or broker-dealer, agent or associated person of a broker-dealer.

Nothing herein shall prevent RESPONDENT from applying for registration as an investment adviser, investment adviser representative or associated person of an investment adviser in any other jurisdiction after the expiration of the 3-year bar.

This Order is effective as of the date hereof.

Dated: June 14, 2011

PRESTON DUFAUCHARD
California Corporations Commissioner

By _____
ALAN S. WEINGER
Deputy Commissioner