

1 DEMETRIOS A. BOUTRIS  
California Corporations Commissioner  
2 VIRGINIA JO DUNLAP (CA BAR NO. 142221)  
Deputy Commissioner  
3 ALAN S. WEINGER (CA BAR NO. 86717)  
Supervising Counsel  
4 NICHOLAS LANZA (CA BAR NO. 124721)  
Senior Corporations Counsel  
5 DEPARTMENT OF CORPORATIONS  
320 West 4<sup>th</sup> Street, Suite 750  
6 Los Angeles, California 90013-2344  
Telephone: 1 (888) 877-5379, ask for: (213) 576-7189  
7

8 Attorneys for Complainant

9 BEFORE THE DEPARTMENT OF CORPORATIONS  
10 OF THE STATE OF CALIFORNIA  
11

12	In the Matter of	)	CASE NO.
		)	
13	THE CALIFORNIA CORPORATIONS	)	FILE NO. 923-3091
14	COMMISSIONER,	)	
		)	ORDER TO DISCONTINUE VIOLATIONS
15	Complainant,	)	PURSUANT TO CORPORATIONS CODE
		)	SECTION 25249
16	v.	)	
		)	
17	RHODES INVESTMENT ADVISORY	)	
18	(JAMES ERNEST RHODES, DBA),	)	
		)	
19	Respondent.	)	
20		)	
21		)	

22 To: Rhodes Investment Advisory  
23 James Ernest Rhodes DBA  
1221 State Street  
24 El Centro, California 92243

25 Demetrios A. Boutris, the California Corporations Commissioner (“Commissioner”) of the  
26 Department of Corporations (“Department”) finds that:

27 Rhodes Investment Advisory (James Ernest Rhodes DBA) (“RIA”) has continued to violate  
28 the reporting requirements of the Corporate Securities Law of 1968 (“CSL”)(Corp. Code § 25000 et

1 seq.) and the regulations thereunder found at California Code of Regulations, title 10, (“CCR”) (§  
2 260.000 et seq.). RIA has violated CSL section 25241 and CCR section 260.241.2(a) by failing to  
3 file required annual financial reports with the Commissioner within 60 days of the end of its fiscal  
4 year.

5 NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby  
6 ORDERED under the provisions of Corporations Code section 25249, that Rhodes Investment  
7 Advisory (James Ernest Rhodes DBA) immediately discontinue violating Corporations Code section  
8 25241 and California Code of Regulations section 260.241.2(a).

9 Dated: November 19, 2003

DEMETRIOS A. BOUTRIS  
California Corporations Commissioner

11 By: \_\_\_\_\_  
12 ALAN S. WEINGER  
13 Supervising Counsel  
14 Enforcement and Legal Services Division

10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25  
26  
27  
28