

1 MARY ANN SMITH
Deputy Commissioner
2 SEAN ROONEY
Assistant Chief Counsel
3 JOYCE TSAI (SBN 241908)
Senior Corporations Counsel
4 DEPARTMENT OF BUSINESS OVERSIGHT
1350 Front Street, Suite 2034
San Diego, CA 92101
5 Telephone: (619) 525-4043

6 Attorneys for Complainant

7
8 BEFORE THE DEPARTMENT OF BUSINESS OVERSIGHT
9 OF THE STATE OF CALIFORNIA

10	In the Matter of)	CASE NO.
11	THE COMMISSIONER OF BUSINESS)	
12	OVERSIGHT OF THE STATE OF)	ORDER IMPOSING PENALTIES AND
13	CALIFORNIA,)	ANCILLARY RELIEF
14	Complainant,)	
15	v.)	
16	TAK CONSULTING LLC, ROLAND)	
17	WILLIAMS, and KATHY HARRIS,)	
	Respondents.)	

18 To: TAK Consulting LLC
Roland Williams
19 Kathy Harris
20 380 West Wilson Street, Unit C101
Costa Mesa, CA 92627

21 Jan Lynn Owen, the Commissioner of Business Oversight (“Commissioner”), finds that:

- 22 1. On January 27, 2014, the Commissioner issued her Statement in Support of Order
23 Levying Administrative Penalties Pursuant to Corporations Code Section 25252; Claim for
24 Ancillary Relief Pursuant to Corporations Code Section 25254; and Desist and Refrain Order
25 (“Statement in Support”) against TAK Consulting LLC, Roland Williams, and Kathy Harris
26 (collectively, “Respondents”).
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1 2. Respondents entered into a Stipulation regarding the Statement in Support. The
2 Stipulation provided that Respondents acknowledge their right to a hearing and waive the right to
3 a hearing.

4 3. The Stipulation further provided that if Respondents did not comply with the terms
5 of the Stipulation, the Commissioner would immediately issue an Order Imposing Penalties and
6 Ancillary Relief jointly and severally against TAK Consulting LLC, Roland Williams, and Kathy
7 Harris, pursuant to the Statement in Support, and the amounts payable pursuant to the Order
8 Imposing Penalties and Ancillary Relief would be due immediately.

9 4. Respondents have failed to comply with the terms of the Stipulation.

10 NOW THEREFORE, GOOD CAUSE SHOWING, the Commissioner having found that
11 Respondents have willfully violated Corporations Code sections 25130 and 25210, Respondents
12 are hereby ordered, jointly and severally, to pay to the Commissioner the sum of \$6,000.00 in
13 administrative penalties.

14 Further, Respondents are hereby ordered, jointly and severally, to pay to the Commissioner
15 full restitution consisting of the investors' investment principal in an amount of \$25,000.00, plus
16 the legal rate of interest accumulated on the investment principal, in the amount of \$3,905.00, for a
17 total amount of \$28,905.00.

18 Further, Respondents are hereby ordered, jointly and severally, to pay to the Commissioner
19 attorney's fees, investigative expenses, and costs in an amount of \$3,000.00.

20 Respondents are hereby ordered, jointly and severally, to pay the total amount of
21 \$37,905.00 by check made out to the Department of Business Oversight and received by Joyce
22 Tsai at 1350 Front Street, Suite 2034, San Diego, CA 92101, no later than May 30, 2014.

23 Dated: May 15, 2014

JAN LYNN OWEN
Commissioner of Business Oversight

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26 By: _____
MARY ANN SMITH
27 Deputy Commissioner
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