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STATE OF CALIFORNIA
BUSINESS, TRANSPORTATION AND HOUSING AGENCY
DEPARTMENT OF CORPORATIONS

TO: Shalice Ann Emerson

ORDER WITHDRAWING DESIST AND REFRAIN ORDER

It is hereby ordered that the Desist and Refrain Order issued on November 29, 2005 against Shalice Ann Emerson is withdrawn.

Dated: March 3, 2011
Los Angeles, California

PRESTON DUFAUCHARD
California Corporations Commissioner

By _____
ALAN S. WEINGER,
Deputy Commissioner
Enforcement Division

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**STATE OF CALIFORNIA
BUSINESS, TRANSPORTATION AND HOUSING AGENCY
DEPARTMENT OF CORPORATIONS**

TO: Thomas Mooreland

ORDER WITHDRAWING DESIST AND REFRAIN ORDER

It is hereby ordered that the Desist and Refrain Order issued on November 29, 2005 against Thomas Mooreland is withdrawn.

Dated: April 5, 2006
Los Angeles, California

WAYNE STRUMPFER
Acting California Corporations Commissioner

By _____
ALAN S. WEINGER,
Acting Deputy Commissioner
Enforcement Division

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STATE OF CALIFORNIA
BUSINESS, TRANSPORTATION AND HOUSING AGENCY
DEPARTMENT OF CORPORATIONS

TO: Universal Money Traders, Inc.
Universal Money Traders, LLC
Universal Money Traders
Mark Todd Hauze, President/CEO and Manager
Thomas V. Moore, Senior Account Manager
Thomas Mooreland, Board of Directors
Shalice Ann Emerson, Officer (Secretary)
505 Lomas Santa Fe Drive, Suite 240
Solana Beach, CA 92075

DESIST AND REFRAIN ORDER
(For violations of sections 29520 and 29536 of the Corporations Code)

The California Corporations Commissioner finds that:

1. Mark Todd Hauze (“Hauze”) is the President, Chief Executive Officer and Chief Financial Officer of Universal Money Traders, Inc. a California Corporation (also known as Universal Money Traders), as well as the Manager of Universal Money Traders, LLC. The companies are hereafter collectively referred to as “UMT” and are located at 505 Lomas Santa Fe Drive, Suite 240, Solana Beach, California 92075.
2. Thomas V. Moore (“Moore”) represented himself to be a Senior Account Manager of UMT, at all relevant times.
3. Thomas Mooreland (“Mooreland”) is listed as a Director of UMT on the Secretary of State documents filed by UMT, at all relevant times.
4. Shalice Ann Emerson (“Emerson”) is listed as an Officer (Secretary) of UMT on the Secretary of State documents filed by UMT, at all relevant times.
5. Beginning in or about 2003 and continuing through approximately spring 2005, UMT, Hauze, Moore, Mooreland and Emerson offered to sell commodities contracts, or offered to enter into, or entered into transactions, as sellers or purchasers of foreign currencies, in the state of California.

1 6. The foreign currencies purchased or sold, or offered to be purchased, or sold under the
2 commodity contracts were commodities within the meaning of Section 29504 of the California
3 Commodity Law of 1990.

4 7. Through direct sales, the UMT website: www.umtfx.com, and telephone (“cold call”)
5 solicitations, UMT, Hauze, Moore, Mooreland and Emerson solicited commodity investments
6 through UMT.

7 8. UMT, Hauze, Moore, Mooreland and Emerson willfully failed to disclose to investors that:

- 8 a. Hauze, Moore, Mooreland and Emerson were not registered with the Commodity
9 Futures Trading Commission (“CFTC”) beginning in or about 2003 and
10 continuing to the present.
- 11 b. Effective June 7, 2002, Hauze was barred from National Futures Association
12 (“NFA”) membership and Associate and Principal status with any NFA Member
13 for three years and ordered to pay a \$15,000 fine for violations of C.R. 2-2(a)
14 (cheat, fraud, deceive customers) and C.R. 2-9 (supervision of employees).
- 15 c. On September 27, 2002, pursuant to an Administrative Law Judge decision, Hauze
16 was found to have engaged in a scheme to churn a client’s account in violation of
17 Section 4b(A) of the Commodity Exchange Act, and 7 U.S.C. section 6b(A),
18 resulting in monetary damages.
- 19 d. Effective December 4, 2002, Hauze was prohibited from trading on any contract
20 market and his CFTC registration was suspended in accordance with section 14(f)
21 of the Commodity Exchange Act, 7 U.S. C. Sec. 18(F).
- 22 e. In 1996 and 2001, Moore was found jointly and severally liable for breach of
23 fiduciary duty and misrepresentation and was ordered to pay compensatory
24 damages in two different reparation matters filed with National Association of
25 Securities Dealers (“NASD”).

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1 Based upon the foregoing, the California Corporations Commissioner is of the opinion that
2 the investment accounts for trading in foreign currency, through UMT offered and sold by Universal
3 Money Traders, Inc., Universal Money Traders, LLC, Universal Money Traders, Mark T. Hauze,
4 Thomas V. Moore, Thomas Mooreland and Shalice A. Emerson offered and sold in this state in
5 violation of 29520 of the California Commodity Law of 1990. The California Corporations
6 Commissioner is also of the opinion that, in connection with these offers and sales, Universal Money
7 Traders, Inc., Universal Money Traders, LLC, Universal Money Traders, Mark T. Hauze, Thomas V.
8 Moore, Thomas Mooreland and Shalice A. Emerson willfully made untrue statements of material fact
9 and/or omitted to state material facts necessary in order to make the statements made, in light of the
10 circumstances under which they were made, not misleading in violation of section 29536 of the
11 California Commodity Law of 1990.

12 Pursuant to Section 29542 of the California Commodity Law of 1990, Universal Money
13 Traders, Inc., Universal Money Traders, LLC, Universal Money Traders, Mark T. Hauze, Thomas V.
14 Moore, Thomas Mooreland and Shalice A. Emerson are hereby ordered to desist and refrain from the
15 further sale or purchase or offer to sell or purchase any commodity under any commodity contract or
16 under any commodity option, or the further offer to enter into, or enter into, as seller or purchaser any
17 commodity contract or any commodity option, in the State of California, unless exempt.

18 Pursuant to Section 29542 of the California Commodity Law of 1990, Universal Money
19 Traders, Inc., Universal Money Traders, LLC, Universal Money Traders, Mark T. Hauze, Thomas V.
20 Moore, Thomas Mooreland and Shalice A. Emerson are hereby ordered to desist and refrain from the
21 further offer or sale of foreign currency contracts, or from the further offer to enter into, or from
22 entering into, as sellers or purchasers, foreign currency contracts, in the State of California, involving
23 investment accounts for trading in foreign currency, by employing any untrue statement of material
24 fact or omitting to state a material fact necessary in order to make statements made, in light of the
25 circumstances under which they were made, not misleading.

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1 This Order is necessary, in the public interest, for the protection of investors and consistent
2 with the purposes, policies and provisions of the California Commodity Law of 1990.

3 Dated: November 29, 2005

4 Los Angeles, California

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WAYNE STRUMPFER
Acting California Corporations Commissioner

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ALAN S. WEINGER
Acting Deputy Commissioner
Enforcement Division

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