

SUMMARY OF ENFORCEMENT ACTIONS (ADMINISTRATIVE AND CIVIL)

May-10

BY THE CALIFORNIA DEPARTMENT OF CORPORATIONS

SUBJECT	ACTION	
Maha Khouri dba Green House Fadi Khouri aka Fredy Khouri Anaheim, California	Desist and Refrain Order May 3, 2010	Unlawful Deferred Deposit VIOLATION Transaction Law Activity (Financial Code Section 23005)
Omega Investment Group, Inc. Michael Zuno Zuniga Manuel R. Reyes Edwin Gabriel Salazar Downey, California	1) Statement in Support of Order Levying Administrative Penalties; 2) Claim for Ancillary Relief; 3) Desist and Refrain Order May 3, 2010	Unlawful Offer and Sale of Securities and Boker-Dealer Activity (Corporations Code Sections 25110, 25401, 25252 and 25254)
Amerisource Escrow, Inc. Hawthorne, California	1) Accusation; 2) Order Imposing Penalties May 3, 2010	Unlawful Escrow Law Activity (Financial Code Sections 17210, 17406, 17408, 17408(b) and 17602.5)

SUBJECT	ACTION	
<p>Khalid A. Shabazz dba Shabazz Investments dba K&K Associates Pleasanton, California</p>	<p>Desist and Refrain Order May 3, 2010</p>	<p>Unlawful Offer and Sale of VIOLATION Securities (Corporations Code Section 25110)</p>
<p>Terrell Ornett Hickman The Prominent Group LLC Prominent Business Management Inc. 220 E. Flamingo Road 224 LLC 230 E. Flamingo Road 114 LLC 270 E. Flamingo Road LLC Beverly Hills, California Las Vegas, Nevada</p>	<p>1) Statement of Issues in Support of Order Levying Administrative Penalties; 2) Claim for Ancillary Relief; 3) Desist and Refrain Order May 3, 2010</p>	<p>Unlawful Offer and Sale of Securities and Investment Adviser Activity (Corporations Code Sections 25110, 25230, 25252, 25254 and 25401)</p>
<p>Vince Enterprise Kansas City, Missouri</p>	<p>Desist and Refrain Order May 4, 2010</p>	<p>Unlawful Deferred Deposit Transaction Law Activity (Financial Code Section 23005)</p>

SUBJECT	ACTION	
Joey's Smokin' BBQ Franchising, Inc. Joey's Smokin' BBQ, Inc. www.joeyssmokinbbq.com Joseph Maggiore Carlsbad, California	Desist and Refrain Order May 4, 2010	Unlawful Franchise Investment VIOLATION Law Activity (Corporations Code Section 31110)
Dennis Lee Keating, II Paseo Partners, LLC Corona, California Del Mar, California	Desist and Refrain Order May 5, 2010	Unlawful Offer and Sale of Securities (Corporations Code Sections 25110 and 25401)
Stifel, Nicolaus & Company Incorporated St. Louis, Missouri	Administrative Consent Order May 5, 2010	Unlawful Broker-Dealer Activity (Corporations Code Sections 25532(d) and 25609)

SUBJECT	ACTION	
<p>JHS Marketing Tampa, Florida</p>	<p>Desist and Refrain Order May 10, 2010</p>	<p>Unlawful Deferred Deposit Transaction Law Activity VIOLATION (Financial Code Section 23005)</p>
<p>BevMax Franchising, LLC Stamford, Connecticut</p>	<p>Statement in Support of Stop Order Denying Effectiveness of Franchise Registration Application and Stop Order Denying Effectiveness of Franchise Registration Application May 11, 2010</p>	<p>Unlawful Franchise Investment Law Activity (Corporations Code Sections 31200 and 31115)</p>
<p>Adeel Amin Inge Rymal The Gallant Group Ltd. Joseph R. Carr High Performance Investing LLC Paso Robles, California Los Angeles, California</p>	<p>Desist and Refrain Order May 12, 2010</p>	<p>Unlawful Offer and Sale of Securities and Broker-Dealer Activity (Corporations Code Sections 25110, 25210 and 25401)</p>

SUBJECT	ACTION	
<p>Diamond Quality Escrow, Inc.</p> <p>Chino Hills, California</p>	<p>Order Suspending Escrow License</p> <p>May 14, 2010</p> <p>Settlement Agreement</p> <p>May 24, 2010</p>	<p>Unlawful Escrow Law Activity</p> <p>VIOLATION</p> <p>(Financial Code Sections 17406, 17602.5 and 17608)</p>
<p>Melvin Russell Shields aka Rusty Shields Chastan Shields Pinnacle Property Solutions Convergent Management Group, LLC</p> <p>Hickory, North Carolina Merritt Island, Florida Valrico, Florida</p>	<p>Desist and Refrain Order</p> <p>May 17, 2010</p>	<p>Unlawful Offer and Sale of Securities</p> <p>(Corporations Code Sections 25110 and 25401)</p>
<p>CF Escrow, Inc.</p> <p>San Diego, California</p>	<p>Accusation</p> <p>Order Imposing Penalties</p> <p>May 19, 2010</p>	<p>Unlawful Escrow Law Activity</p> <p>(Financial Code Sections 17406, 17408, 17602.5 and 17608)</p>

SUBJECT	ACTION	
Dicksey M. Battle Vernon N. Battle Altadena, California	Order Withdrawing Desist and Refrain Order May 19, 2010	Unlawful Offer and Sale of Securities VIOLATION (Corporations Code Sections 25110 and 25401)
Michael P. Gamboa dba Gamboa & Company MPG, LLC Mark H. Poore RMB Operations, LLC Palette Sienna International Fund, LLC Palette Group, LLC Palette II Group, LLC Palette III Group, LLC Palette IV Group, LLC Palette Aqua Investment Fund, LLC Palette Cobalt Investment Fund, LLC The Crimson Fund, LLC Eplay, LLC Eplay Investments LLC Eplay Investments 2 LLC Poga Management Partners, LLC 401K Retirement Solutions, LLC MXM Investments, LLC San Francisco, California	Order Re Permanent Injunction and for Entry of Judgment as to Defendants Michael P. Gamboa and Mark H. Poore May 20, 2010	Unlawful Offer and Sale of Securities and Investment Adviser Activity (Corporations Code Sections 25110, 25401, 25232.1, 25232, 25532(d) and 25609)

SUBJECT	ACTION	
<p>Suzie Zupan Paul Zupan Latitude Capital Management Inc. LCM High Income Fund, LLC LCM Strategic Income Fund, LLC</p> <p>Sausalito, California</p>	<p>Judgment Denying First Amended Petition for Writ of Administrative Mandamus</p> <p>May 20, 2010</p>	<p>Unlawful Investment Adviser VIOLATION and Finance Lender Law Activity</p> <p>(Corporations Code Sections 25140(a)(1), 25143(a) 25232, 25232.1 and 25232(a)(b)(e)(g) and (h))</p> <p>(Financial Code Sections 22714, 22169(a)(1), 22169(a)(2))</p>
<p>Cash Jar dba Down Under Ventures www.cashjar.com</p> <p>Miami, Florida</p>	<p>Desist and Refrain Order</p> <p>May 24, 2010</p>	<p>Unlawful Deferred Deposit Transaction Law Activity</p> <p>(Financial Code Sections 23050, 23005 and 23036)</p>
<p>Firestone Escrow Corporation</p> <p>Downey, California</p>	<p>Order to Discontinue Escrow Activities</p> <p>May 25, 2010</p>	<p>Unlawful Escrow Law Activity</p> <p>(Financial Code Section 17415)</p>

SUBJECT	ACTION	
<p>Innovative Advisory Services, Inc. Innovative Advisory Services, LLC Richard Hatfield Nickles, II Santa Ana, California</p>	<p>Order Revoking the Investment Advisor Certificate of Innovative Advisory Services, Inc. and Innovative Advisory Services, LLC Order Barring Richard Hatfield Nickles, II from any Position of Employment, Management or Control of any Investment Adviser, Broker-Dealer or Commodity Adviser May 25, 2010</p>	<p>Unlawful Investment Adviser Activity VIOLATION (Corporations Code Sections 25232 and 25232.1)</p>
<p>Susan D. Davis Huntington Beach, California</p>	<p>Order Denying Petition for Reinstatement May 25, 2010</p>	<p>Unlawful Escrow Law Activity (Financial Code Sections 17200 and title 10 § 1738.2) (California Government Code Section 11522)</p>

SUBJECT	ACTION	
<p>The Escrow Source, Inc. Palm Desert, California</p>	<p>Order Setting Aside Order Taking Possession of the Trust Funds and Escrow Records and Order Terminating Conservatorship May 26, 2010</p>	<p>Unlawful Escrow Law VIOLATION Activity (Financial Code Sections 17621, 17630 and title 10 § 1737.1)</p>
<p>Matthew S. Wood Joel Craig Duncan Commission Express Austin, LLC Macy Paige Realty, LLC LDI Capital Company, LLC Frisco, Texas Addison, Texas West Lake Hills, Texas</p>	<p>Desist and Refrain Order May 26, 2010</p>	<p>Unlawful Offer and Sale of Securities (Corporations Code Section 25110)</p>

