

**SUMMARY OF ENFORCEMENT ACTIONS (ADMINISTRATIVE AND CIVIL)
BY THE CALIFORNIA DEPARTMENT OF BUSINESS OVERSIGHT**

Apr-14

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
<p>Shaun Stirling Noll dba Stirling Capital Management</p> <p>San Francisco, California</p>	<p>1. Desist and Refrain Order; and 2. Order Levying Administrative Penalties</p> <p>Settlement Agreement Between Shaun Stirling Noll and The California Department of Business Oversight Resolving: 1. Desist and Refrain Order; and 2. Order Levying Administrative Penalties</p> <p>April 1, 2014</p>	<p>Unlawful Investment Adviser Activity</p> <p>(Corporations Code Sections 25532(b), 25230(a) and 25252(b))</p>
<p>Paul Mata</p> <p>Rancho Cucamonga, California</p>	<p>Order Suspending Paul Mata</p> <p>Stipulation to an Order Suspending Paul Mata</p> <p>April 1, 2014</p>	<p>Unlawful Broker-Dealer Activity</p> <p>(Corporations Code Section 25213)</p>

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Buggy Bubbles, LLC dba Stroller Spa Stroller Spa Franchising LLC Jamie Mamikunian San Francisco, California	Stipulation and Settlement Agreement April 2, 2014	Unlawful Franchise Investment Law Activity (Corporations Code Sections 31110 and 31406)
Lisa M. Velez Torrance, California	Accusation April 2, 2014	Unlawful Escrow Law Activity (Financial Code Sections 17404, 17405, 17414(a)(1), and title 10 § 1732.1, 1738, 1738.1 and 1738.2)
Fresh Healthy Vending, LLC San Diego, California	First Amended Statement of Issues in Support of Stop Order and Stop Order Denying Effectiveness of Franchise Registration Application April 2, 2014	Unlawful Franchise Investment Law Activity (Corporations Code Section 31115)

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Seneca One, LLC Bethesda, Maryland	Order Conditionally Granting Petition for Reinstatement April 4, 2014	Unlawful Finance Lender Law Activity (Government Code Section 11522)
TAK Consulting LLC Roland Williams Kathy Harris Costa Mesa, California	Stipulation April 7, 2014	Unlawful Offer and Sale of Securities and Broker-Dealer Activity (Corporations Code Sections 25252 and 25254)
Newtalk, Inc. Bruce Wayne Nash Menlo Park, California	1) Statement in Support of Order Levying Administrative Penalties; 2) Claim for Ancillary Relief; 3) Desist and Refrain Order April 16, 2014	Unlawful Offer and Sale of Securities (Corporations Code Sections 25252 and 25532)

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<p>Melody Nganthuy Phan aka Melody Thuy Phan aka Melody Phan My Forex Planet, Inc. Wal Capital, S.A. Top Global Capital, Inc.</p> <p>Huntington Beach, California Irvine, California Costa Rica Panama</p>	<p>Desist and Refrain Order</p> <p>April 16, 2014</p>	<p>Unlawful Offer and Sale of Securities and Commodity Law Activity</p> <p>(Corporations Code Sections 25110, 25401, 29520 and 29535)</p>
<p>Cooper's Escrow Vilma E. Cooper</p> <p>Bell Gardens, California</p>	<p>Accusation</p> <p>April 21, 2014</p>	<p>Unlawful Escrow Law Activity</p> <p>(Financial Code Sections 17210, 17404, 17405, 17414(a)(1), 17414(a)(2) and title 10 § 1732.3, 1738, 1738.1 and 1738.2)</p>

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Real Source Solutions, Inc.dba RSS, Inc. dba RSS Marketing Gregory Doss www.rssleads.net North Hollywood, California	Desist and Refrain Order April 22, 2014	Unlawful Offer and Sale of Securities and Broker-Dealer Activity (Corporations Code Sections 25110 and 25210)
Meat House Franchising, LLC Justin Rosberg Durham, New Hampshire	Citation Including: (1) Desist and Refrain Order (2) Assessment of Administrative Penalties (3) Claim for Ancillary Relief and Costs April 23, 2014	Unlawful Franchise Investment Law Activity (Corporations Code Sections 31402, 31406 and 31408)
ESP Financial Services, LLC Rod Scott Hormell Thousand Oaks, California Newbury Park, California	Order Revoking the Investment Adviser Certificate of ESP Financial Services, LLC, and Barring Rod Scott Hormell from any Position of Employment, Management or Control of any Investment Adviser, Broker-Dealer or Commodity Adviser April 23, 2014	Unlawful Investment Adviser Activity (Corporations Code Sections 25232 and 25232.1)

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Ridgeway Escrow, Inc. Calabasas, California	Statement of Facts in Support of Order to Discontinue Violations Order to Discontinue Violations Order Imposing Penalties April 24, 2014	Unlawful Escrow Law Activity (Financial Code Sections 17602 and 17213.2)
Transamerican Escrow Company Newport Beach, California	Final Order to Discontinue Violations April 28, 2014	Unlawful Escrow Law Activity (Financial Code Section 17602)
A.C.T. Escrow, Inc. Lancaster, California	Notice of Effectiveness of Order Revoking Escrow Agent's License April 28, 2014	Unlawful Escrow Law Activity (Financial Code Section 17608)