

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
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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
James Ernest Rhodes DBA
23 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

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