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

TO: VIRGINIA ANN BATTELLE
31 Oak Knoll
Coto De Caza, CA 92679

DESIST AND REFRAIN ORDER

(For violations of section 25401 of the Corporations Code)

The California Corporations Commissioner finds that:

1. Although Virginia Ann Battelle had a certificate to be an agent of NYLife Securities, Inc., she on behalf of a company, Creative Money Strategies, which possessed no certificate as a broker-dealer, offered and sold securities in the form of viaticals issued by The Alpha Capital Group, LLC to residents of California securities and by means of oral communications containing false statements or omissions of material fact.
2. Beginning in or about November 1998, Virginia Ann Battelle represented to at least one investor that she was working for Creative Money Strategies, a company that does not have a broker-dealer certificate.
3. Virginia Ann Battelle offered and sold securities in the form of viaticals issued by The Alpha Capital Group, LLC to investors with sales occurring on November 11, 1998, and December 23, 1998.
4. Virginia Ann Battelle told one of the investors that he could anticipate a 30% to 40% return on his money in two years with an option to rollover the investment. The investor was told that The Alpha Capital Group, LLC created ideal safety controls, which guaranteed the principal, and the investor was not told about the risks. In actuality, the investor in the viaticals issued by The Alpha Capital Group, LLC did not obtain a 30% to 40% return on his money and the principal is at risk.

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