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

**TO: DANIEL R. LEWIS**  
**9502 Cattaraugus Avenue**  
**Los Angeles, CA 90034**

**DESIST AND REFRAIN ORDER**

**(For violations of sections 25210 and 25401 of the Corporations Code)**

The California Corporations Commissioner finds that:

1. Daniel R. Lewis possessing no certificate as a broker-dealer or agent offered and sold to a resident of California securities in the form of viaticals issued by The Alpha Capital Group, LLC by means of an oral communication containing false statements or material omissions.
2. On or about December 28, 1998, Daniel R. Lewis offered and sold a security in the form of a viatical issued by The Alpha Capital Group, LLC. There was at least one sale of a viatical by Daniel R. Lewis for \$29,000 occurring on December 28, 1998.
3. Daniel R. Lewis told an investor that she would double her investment in two years and that there was no risk. Daniel R. Lewis told an investor that her original investment would be safe. In fact, the investment was at risk.

Based upon the foregoing findings, the California Corporations Commissioner is of the opinion that Daniel R. Lewis has effected a transaction in a security as a broker-dealer without first having applied for and secured from the Commissioner a certificate, then in effect, authorizing him to act in that capacity, in violation of section 25210 of the Corporate Securities Law of 1968. Pursuant to Section 25532 of the Corporate Securities Law of 1968, Daniel R. Lewis is hereby ordered to **DESIST and REFRAIN** from effecting any

1 transaction in, or inducing or attempting to induce the purchase or sale of, any security in  
2 this state, unless and until he has applied for and secured from the Commissioner a  
3 certificate, then in effect, authorizing him to act in that capacity.

4 Further, Daniel R. Lewise offered and sold the security of The Alpha Capital Group,  
5 LLC in this State by means of written or oral communications which included untrue  
6 statements of a material fact or omitted to state a material fact necessary in order to make  
7 the statements made, in light of the circumstances under which they were made, not  
8 misleading, in violation of section 25401 of the Corporate Securities Law of 1968. Pursuant  
9 to Section 25532 of the Corporate Securities Law of 1968, Daniel R. Lewis is hereby  
10 ordered to **DESIST and REFRAIN** from offering and selling any security in the State of  
11 California, including but not limited to, by means of any written or oral communication which  
12 includes an untrue statement of a material fact or omits to state a material fact necessary in  
13 order to make the statements made, in light of the circumstances under which they were  
14 made not misleading.

15 This Order is necessary, in the public interest, for the protection of investors and  
16 consistent with the purposes, policies, and provisions of the Corporate Securities Law of  
17 1968.

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19 Dated: December 24, 2002

20 Sacramento, California

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22 DEMETRIOS A. BOUTRIS  
23 California Corporations Commissioner

24  
25 By \_\_\_\_\_  
26 VIRGINIA JO DUNLAP  
27 Supervising Counsel  
28 Enforcement and Legal Services