

1 WAYNE STRUMPFER
Acting California Corporations Commissioner
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Acting Deputy Commissioner
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8
9 BEFORE THE DEPARTMENT OF CORPORATIONS
10 OF THE STATE OF CALIFORNIA
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12	In the Matter of)	CASE NO.
13)	
14	THE CALIFORNIA CORPORATIONS)	FILE NO. 923-5067
15	COMMISSIONER,)	
16	Complainant,)	ORDER BARRING ROBERT L. CARVER
17	v.)	FROM ANY POSITION OF
18	BROOKSTONE CAPITAL, INC.,)	EMPLOYMENT, MANAGEMENT OR
19	Respondent.)	CONTROL OF ANY INVESTMENT
20)	ADVISER, BROKER-DEALER OR
21)	COMMODITY ADVISER PURSUANT TO
)	CORPORATIONS CODE SECTION 25232.1

22 TO: Robert L. Carver
23 Brookstone Capital, Inc.
24 695 Town Center Drive, Ste. 850
25 Costa Mesa, CA 92626

26 1. On August 11, 2005 the Department of Corporations for the State of California
27 (“Department”) brought an action to bar Robert L. Carver from any position of employment,
28 management or control of any investment adviser, broker-dealer, and commodity adviser pursuant to
Corporations Code section 25232.1. The current business address of Robert L. Carver is Brookstone

1 Capital, Inc., 695 Town Center Drive, Ste. 850, Costa Mesa, CA 92626. Robert L. Carver is noted
2 to be the founder, CEO and sole owner, manager and control person of Brookstone Capital, Inc.

3 2. On July 22, 1994 in the Los Angeles County Superior Court Robert L. Carver pled
4 guilty to one felony count of making/passing fictitious checks, and on August 4, 1994 in the
5 Riverside County Superior/Municipal Court Mr. Carver pled nolo contendere to two felony counts of
6 grand theft. For the former conviction he was sentenced to 98 days in the county jail and five years
7 probation and for the later conviction he was sentenced to 180 days in county jail and five years
8 probation as well.

9 3. On October 20, 2004, Brookstone Capital, Inc. filed an application for an investment
10 adviser certificate with the Department and in its application Brookstone Capital, Inc. stated that
11 Robert L. Carver had never been found by any state agency to have violated any investment related
12 regulation or statute, and yet on March 21, 1996 the State of California Department of Corporations
13 issued a Desist and Refrain Order to Robert L. Carver, among others, regarding the offer and sale of
14 unqualified securities.

15 4. Robert L. Carver warrants a bar from any position of employment, management or
16 control of any investment adviser, broker-dealer or commodity adviser pursuant to Corporations
17 Code section 25232.1, for acts committed as specified in Corporations Code section 25232,
18 subdivision (b), specifically past felony convictions, and subdivision (a), specifically for failure to
19 disclose the issuance of a prior Desist and Refrain Order. Robert L. Carver is the founder, CEO and
20 sole owner, manager and control person of Brookstone Capital Inc.

21 5. Robert L. Carver has not requested a hearing on this matter within 30 days of service
22 as required, and the time period has expired to request a hearing.

23 GOOD CAUSE APPEARING THEREFORE, IT IS ORDERED that Robert L. Carver is
24 barred in the State of California from any position of employment, management or control of any
25 investment adviser, broker-dealer or commodity adviser pursuant to Corporations Code section

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23232.1 for acts committed as specified in Corporations Code section 25232 subdivisions (a) and (b).

Dated: September 26, 2005

WAYNE STRUMPFER
Acting California Corporations Commissioner

By: _____
ALAN S. WEINGER
Acting Deputy Commissioner
Enforcement Division