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**STATE OF WASHINGTON
DEPARTMENT OF FINANCIAL INSTITUTIONS
SECURITIES DIVISION**

IN THE MATTER OF DETERMINING
whether there has been a violation
of the Securities Act of Washington by:

Dorothy of Oz, LLC; Alpine Pictures,
Inc.; Neil Kaufman; Michael Bergh;
Randy Lacey; Michael Luther; Walter
Price; Shawn Syre

Respondents.

Order Number S-09-356-10-CO01

CONSENT ORDER AS TO DOROTHY OF OZ,
LLC AND NEIL KAUFMAN AND
WITHDRAWAL OF STATEMENT OF
CHARGES AS TO ALPINE PICTURES, INC.

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On May 11, 2010, the Securities Administrator of the State of Washington issued Statement of Charges and Notice of Intent to Enter Order to Cease and Desist, to Charge Costs, and to Impose Fines (“Statement of Charges”) S-09-356-10-SC01 against Respondents Dorothy of Oz, LLC, Alpine Pictures, Inc., Neil Kaufman, Michael Bergh, Randy Lacey, Michael Luther, Walter Price, and Shawn Syre. Based on representations made to the Securities Division by Alpine Pictures, Inc., the Securities Division withdraws the Statement of Charges as to Alpine Pictures, Inc. The Securities Division, Department of Financial Institutions, State of Washington and Respondents Dorothy of Oz, LLC and Neil Kaufman do hereby agree to this CONSENT ORDER in settlement of the above-captioned matter. The Securities Division has in Statement of Charges S-10-356-10-SC01 made certain allegations and conclusions, set forth under the headings “Tentative Findings of Fact,” and “Conclusions of Law.” Respondents Dorothy of Oz, LLC and Neil Kaufman each neither admit nor deny the Tentative Findings of Fact and Conclusions of Law which are hereby incorporated by reference into this CONSENT ORDER.

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CONSENT ORDER AS TO DOROTHY OF OZ,
LLC AND NEIL KAUFMAN AND WITHDRAWAL
OF STATEMENT OF CHARGES AS TO ALPINE
PICTURES, INC.

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3 **CONSENT ORDER**

4 Based upon the foregoing:

5 IT IS AGREED AND ORDERED that Respondents, Dorothy of Oz, LLC and Neil Kaufman, their
6 agents and employees each shall cease and desist from offering or selling securities in violation of RCW
7 21.20.140, the securities registration section of the Securities Act of Washington.

8 IT IS FURTHER AGREED AND ORDERED that Respondent, Neil Kaufman, his agents and
9 employees shall cease and desist from acting as an unregistered securities broker-dealer or salesperson in
10 violation of RCW 21.20.040, the broker-dealer and securities salesperson registration section of the
11 Securities Act of Washington.

12 IT IS FURTHER AGREED AND ORDERED that Respondents, Dorothy of Oz, LLC and Neil
13 Kaufman, their agents and employees each shall cease and desist from violating RCW 21.20.010, the anti-
14 fraud section of the Securities Act of Washington.

15 IT IS FURTHER AGREED that Respondents Dorothy of Oz, LLC and Neil Kaufman shall be
16 jointly and severally liable for and shall pay the Securities Divisions the costs and other expenses incurred
17 in the investigation of this matter in the total collective amount of \$2,000. Dorothy of Oz, LLC has agreed
18 to pay that amount on behalf of itself and Neil Kaufman.

19 IT IS FURTHER AGREED that Respondent Dorothy of Oz, LLC shall be liable for and shall pay a
20 fine of \$10,000.

21 IT IS FURTHER AGREED that full payment of the costs and fines discussed above shall be made
22 on or before the entry of this Consent Order.

1 IT IS FURTHER AGREED that the Securities Division has jurisdiction to enter this Order.

2 IT IS FURTHER AGREED that in consideration of the foregoing Respondents Dorothy of Oz,
3 LLC and Neil Kaufman, waive their rights to a hearing in this matter and judicial review of this order.

4 IT IS FURTHER AGREED that Dorothy of Oz, LLC and Neil Kaufman enter into this Consent
5 Order freely and voluntarily and with full knowledge and understanding of its terms and significance.

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7 **WILLFUL VIOLATION OF THIS ORDER IS A CRIMINAL OFFENSE**

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9 SIGNED this 27th day of August, 2010.

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11 Signed by:

12 Dorothy of Oz, LLC

13 By: s/ Neil Kaufman

14 Title: Managing Member

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16 Signed by:

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18 s/ Neil Kaufman

19 Neil Kaufman, individually

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SIGNED and ENTERED this 14th day of September, 2010.



William M. Beatty
Securities Administrator

Approved by:

Presented by:



Suzanne Sarason
Chief of Enforcement

Edward R. Thunen
Financial Legal Examiner