

BrokerCheck Report

MARK CROSBY NEVDAHL

CRD# 1298931

<u>Section Title</u>	<u>Page(s)</u>
Report Summary	1
Broker Qualifications	2 - 3
Registration and Employment History	5
Disclosure Events	6



When communicating online or investing with any professional, make sure you know who you're dealing with. [Imposters](#) might link to sites like BrokerCheck from [phishing](#) or similar scam websites, or through [social media](#), trying to steal your personal information or your money.

Please contact FINRA with any concerns.

About BrokerCheck®



BrokerCheck offers information on all current, and many former, registered securities brokers, and all current and former registered securities firms. FINRA strongly encourages investors to use BrokerCheck to check the background of securities brokers and brokerage firms before deciding to conduct, or continue to conduct, business with them.

- **What is included in a BrokerCheck report?**

- BrokerCheck reports for individual brokers include information such as employment history, professional qualifications, disciplinary actions, criminal convictions, civil judgments and arbitration awards. BrokerCheck reports for brokerage firms include information on a firm's profile, history, and operations, as well as many of the same disclosure events mentioned above.
- Please note that the information contained in a BrokerCheck report may include pending actions or allegations that may be contested, unresolved or unproven. In the end, these actions or allegations may be resolved in favor of the broker or brokerage firm, or concluded through a negotiated settlement with no admission or finding of wrongdoing.

- **Where did this information come from?**

- The information contained in BrokerCheck comes from FINRA's Central Registration Depository, or CRD® and is a combination of:
 - information FINRA and/or the Securities and Exchange Commission (SEC) require brokers and brokerage firms to submit as part of the registration and licensing process, and
 - information that regulators report regarding disciplinary actions or allegations against firms or brokers.

- **How current is this information?**

- Generally, active brokerage firms and brokers are required to update their professional and disciplinary information in CRD within 30 days. Under most circumstances, information reported by brokerage firms, brokers and regulators is available in BrokerCheck the next business day.

- **What if I want to check the background of an investment adviser firm or investment adviser representative?**

- To check the background of an investment adviser firm or representative, you can search for the firm or individual in BrokerCheck. If your search is successful, click on the link provided to view the available licensing and registration information in the SEC's Investment Adviser Public Disclosure (IAPD) website at <https://www.adviserinfo.sec.gov>. In the alternative, you may search the IAPD website directly or contact your state securities regulator at <http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/P455414>.

- **Are there other resources I can use to check the background of investment professionals?**

- FINRA recommends that you learn as much as possible about an investment professional before deciding to work with them. Your state securities regulator can help you research brokers and investment adviser representatives doing business in your state.

Thank you for using FINRA BrokerCheck.



Using this site/information means that you accept the FINRA BrokerCheck Terms and Conditions. A complete list of Terms and Conditions can be found at

brokercheck.finra.org



For additional information about the contents of this report, please refer to the User Guidance or www.finra.org/brokercheck. It provides a glossary of terms and a list of frequently asked questions, as well as additional resources.

For more information about FINRA, visit www.finra.org.

MARK C. NEVDAHL

CRD# 1298931

This broker is not currently registered.

Report Summary for this Broker



This report summary provides an overview of the broker's professional background and conduct. Additional information can be found in the detailed report.

Broker Qualifications

This broker is not currently registered.

This broker has passed:

- 1 Principal/Supervisory Exam
- 2 General Industry/Product Exams
- 2 State Securities Law Exams

Registration History

This broker was previously registered with the following securities firm(s):

- B WORLD EQUITY GROUP, INC.**
CRD# 29087
SPOKANE, WA
06/2008 - 12/2011
- B PACIFIC WEST SECURITIES, INC.**
CRD# 6390
SPOKANE, WA
11/2007 - 07/2008
- B REGAL SECURITIES, INC.**
CRD# 7297
SPOKANE, WA
07/2005 - 12/2007

Disclosure Events

This broker has been involved in one or more disclosure events involving certain final criminal matters, regulatory actions, civil judicial proceedings, or arbitrations or civil litigations.

Are there events disclosed about this broker? **Yes**

The following types of disclosures have been reported:

Type	Count
Regulatory Event	1
Civil Event	1

Investment Adviser Representative Information

The information below represents the individual's record as a broker. For details on this individual's record as an investment adviser representative, visit the SEC's Investment Adviser Public Disclosure website at

<https://www.adviserinfo.sec.gov>

Broker Qualifications



Registrations

This section provides the self-regulatory organizations (SROs), states and U.S. territories the broker is currently registered and licensed with, the category of each registration, and the date on which the registration became effective. This section also provides, for each firm with which the broker is currently employed, the address of each branch where the broker works.

This broker is not currently registered.



Broker Qualifications

Industry Exams this Broker has Passed

This section includes all securities industry exams that the broker has passed. Under limited circumstances, a broker may attain a registration after receiving an exam waiver based on exams the broker has passed and/or qualifying work experience. Any exam waivers that the broker has received are not included below. A passed exam or exam waiver does not permit a broker to do business without an active SRO or state registration.

This individual has passed 1 principal/supervisory exam, 2 general industry/product exams, and 2 state securities law exams.

Principal/Supervisory Exams

Exam	Category	Date
B General Securities Principal Examination	Series 24	01/11/2010

General Industry/Product Exams

Exam	Category	Date
B Limited Representative-Equity Trader Exam	Series 55	03/23/2000
B General Securities Representative Examination	Series 7	09/15/1984

State Securities Law Exams

Exam	Category	Date
IA Uniform Investment Adviser Law Examination	Series 65	09/16/1998
B Uniform Securities Agent State Law Examination	Series 63	09/01/1984

Additional information about the above exams or other exams FINRA administers to brokers and other securities professionals can be found at www.finra.org/brokerqualifications/registeredrep/.

Broker Qualifications



Professional Designations

This section details that the representative has reported **0** professional designation(s).

No information reported.



Registration and Employment History

Registration History

The broker previously was registered with the following securities firms:

Registration Dates	Firm Name	CRD#	Branch Location
B 06/2008 - 12/2011	WORLD EQUITY GROUP, INC.	29087	SPOKANE, WA
B 11/2007 - 07/2008	PACIFIC WEST SECURITIES, INC.	6390	SPOKANE, WA
B 07/2005 - 12/2007	REGAL SECURITIES, INC.	7297	SPOKANE, WA
B 07/1985 - 07/2005	NATIONAL SECURITIES CORPORATION	7569	BOCA RATON, FL
B 09/1984 - 07/1985	NIELSON AND CLARK INC.	13508	

Employment History

This section provides up to 10 years of an individual broker's employment history as reported by the individual broker on the most recently filed Form U4.

Please note that the broker is required to provide this information only while registered with FINRA or a national securities exchange and the information is not updated via Form U4 after the broker ceases to be registered. Therefore, an employment end date of "Present" may not reflect the broker's current employment status.

Employment	Employer Name	Position	Investment Related	Employer Location
06/2008 - Present	WORLD EQUITY GROUP	REGISTERED REP	Y	SPOKANE, WA, United States

Disclosure Events



What you should know about reported disclosure events:

1. Disclosure events in BrokerCheck reports come from different sources:
- As mentioned at the beginning of this report, information contained in BrokerCheck comes from brokers, their employing firms, and regulators. When more than one source reports information for the same disclosure event, all versions of the event will appear in the BrokerCheck report. The different versions are separated by a solid line with the reporting source labeled.

For your convenience, below is a matrix of the number and status of regulatory disclosure events involving this broker. Further information regarding these events can be found in the subsequent pages of this report. You also may wish to contact the broker to obtain further information regarding these events.

	Final	On Appeal
Regulatory Event	1	0
Civil Event	1	0



Disclosure Event Details

This report provides the information exactly as it was reported to CRD and therefore some of the specific data fields contained in the report may be blank if the information was not provided to CRD.

Regulatory - Final

This type of disclosure event involves a final, formal proceeding initiated by a regulatory authority (e.g., a state securities agency, self-regulatory organization, federal regulator such as the Securities and Exchange Commission, foreign financial regulatory body) for a violation of investment-related rules or regulations.

Disclosure 1 of 1

Reporting Source:	Regulator
Regulatory Action Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Sanction(s) Sought:	Cease and Desist Prohibition Suspension Undertaking
Date Initiated:	09/05/2014
Docket/Case Number:	3-16056
Employing firm when activity occurred which led to the regulatory action:	N/A
Product Type:	Other: COMPANY SHARES
Allegations:	SEC ADMIN RELEASES 33-9642, 34-73016; INVESTMENT COMPANY ACT RELEASE 40-31243, SEPTEMBER 5, 2014: THE SECURITIES AND EXCHANGE COMMISSION DEEMS IT APPROPRIATE AND IN THE PUBLIC INTEREST THAT PUBLIC ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS BE, AND HEREBY ARE, INSTITUTED PURSUANT TO SECTION 8A OF THE SECURITIES ACT OF 1933, SECTION 15(B) OF THE SECURITIES EXCHANGE ACT OF 1934, AND SECTION 9(B) OF THE INVESTMENT COMPANY ACT OF 1940 AGAINST MARK CROSBY NEVDAHL (RESPONDENT). IN ANTICIPATION OF THE INSTITUTION OF THESE PROCEEDINGS, RESPONDENT HAS SUBMITTED AN OFFER OF SETTLEMENT WHICH THE COMMISSION HAS DETERMINED TO ACCEPT. SOLELY FOR THE PURPOSE OF THESE PROCEEDINGS AND ANY OTHER PROCEEDINGS BROUGHT BY OR ON BEHALF OF THE COMMISSION, OR TO WHICH THE COMMISSION IS A PARTY, AND WITHOUT ADMITTING OR DENYING THE FINDINGS HEREIN, EXCEPT AS TO THE COMMISSION'S JURISDICTION OVER HIM AND THE SUBJECT MATTER OF THESE PROCEEDINGS, WHICH ARE ADMITTED, RESPONDENT CONSENTS



TO THE ENTRY OF THIS ORDER INSTITUTING ADMINISTRATIVE AND CEASE-AND-DESIST PROCEEDINGS, PURSUANT TO SECTION 8A OF THE SECURITIES ACT OF 1933, SECTION 15(B) OF THE SECURITIES EXCHANGE ACT OF 1934, AND SECTION 9(B) OF THE INVESTMENT COMPANY ACT OF 1940, MAKING FINDINGS, IMPOSING REMEDIAL SANCTIONS AND A CEASE-AND-DESIST ORDER. THESE PROCEEDINGS ARISE OUT OF RESPONDENT'S ROLE AS A REGISTERED REPRESENTATIVE AND A TRUSTEE FOR CERTAIN OF HIS FORMER CLIENTS WHO HELD THE MAJORITY OF STOCK IN HEART TRONICS, INC. THE CLIENTS ENLISTED NEVDAHL TO ACT AS TRUSTEE FOR A NUMBER OF PURPORTEDLY BLIND TRUSTS TO CREATE THE FAÇADE THAT THE SHARES WERE UNDER HIS CONTROL, AS AN INDEPENDENT TRUSTEE. HOWEVER, THE TRUSTS WERE BLIND IN NAME ONLY, AND NEVDAHL MET HIS CLIENTS' REGULAR DEMANDS FOR CASH BY CONTINUALLY SELLING HEART TRONICS STOCK THROUGH THE TRUSTS. THE TRUSTS WERE FURTHER DESIGNED TO AVOID THE REQUIRED REGULAR PUBLIC DISCLOSURES UNDER THE FEDERAL SECURITIES LAWS OF HIS CLIENTS' STOCK SALES. BETWEEN APPROXIMATELY DECEMBER 2005 AND SEPTEMBER 2008, INDIVIDUALS, THROUGH TRANSACTIONS EXECUTED BY NEVDAHL, SECRETLY DIRECTED THE SALE OF MORE THAN THREE MILLION SHARES OF HEART TRONICS STOCK THROUGH THE TRUSTS, FOR GROSS PROCEEDS OF MORE THAN \$5.8 MILLION. NEVDAHL WAS PAID BROKERAGE COMMISSIONS AND TRUSTEE FEES FOR HIS WORK AS TRUSTEE AND BROKER FOR THE PURPORTEDLY BLIND TRUSTS. AS A RESULT OF THE CONDUCT, NEVDAHL WILLFULLY2 VIOLATED SECTION 17(A)(3) OF THE SECURITIES ACT, WHICH MAKES IT UNLAWFUL FOR ANY PERSON IN THE OFFER OR SALE OF ANY SECURITIES BY THE USE OF ANY MEANS OR INSTRUMENTS OF TRANSPORTATION OR COMMUNICATION IN INTERSTATE COMMERCE OR BY THE USE OF MAILES, DIRECTLY OR INDIRECTLY, TO ENGAGE IN ANY TRANSACTION, PRACTICE OR COURSE OF BUSINESS WHICH OPERATES OR WOULD OPERATE AS A FRAUD OR DECEIT UPON THE PURCHASER.

Current Status:	Final
Resolution:	Order
Does the order constitute a final order based on violations of any laws or regulations that prohibit fraudulent, manipulative, or deceptive conduct?	No
Resolution Date:	09/05/2014
Sanctions Ordered:	Cease and Desist Prohibition



Suspension

Undertaking

Other: RESPONDENT HAS UNDERTAKEN TO PROVIDE THE COMMISSION, WITHIN THIRTY (30) DAYS AFTER THE END OF THE SIX MONTH SUSPENSION PERIOD, AN AFFIDAVIT THAT HE HAS COMPLIED WITH THE SANCTIONS. RESPONDENT NEVDAHL SHALL CEASE AND DESIST FROM COMMITTING OR CAUSING ANY VIOLATIONS AND ANY FUTURE VIOLATIONS OF SECTION 17(A)(3) OF THE SECURITIES ACT.

No

If the regulator is the SEC, CFTC, or an SRO, did the action result in a finding of a willful violation or failure to supervise?

(1) willfully violated any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board, or to have been unable to comply with any provision of such Act, rule or regulation?



(2) willfully aided, abetted, counseled, commanded, induced, or procured the violation by any person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any of such Acts, or any of the rules of the Municipal Securities Rulemaking Board? or

(3) failed reasonably to supervise another person subject to your supervision, with a view to preventing the violation by such person of any provision of the Securities Act of 1933, the Securities Exchange Act of 1934, the Investment Advisers Act of 1940, the Investment Company Act of 1940, the Commodity Exchange Act, or any rule or regulation under any such Acts, or any of the rules of the Municipal Securities Rulemaking Board?

Sanction 1 of 1

Sanction Type:	Suspension
Capacities Affected:	SEE COMMENT
Duration:	SIX MONTHS
Start Date:	09/15/2014
End Date:	03/14/2015

**Regulator Statement**

RESPONDENT BE, AND HEREBY IS, FOR A PERIOD OF SIX (6) MONTHS, EFFECTIVE ON THE SECOND MONDAY FOLLOWING THE ENTRY OF THIS ORDER: SUSPENDED FROM ASSOCIATION WITH ANY BROKER, DEALER, INVESTMENT ADVISER, MUNICIPAL SECURITIES DEALER, MUNICIPAL ADVISOR, TRANSFER AGENT, OR NATIONALLY RECOGNIZED STATISTICAL RATING ORGANIZATION; PROHIBITED FROM SERVING OR ACTING AS AN EMPLOYEE, OFFICER, DIRECTOR, MEMBER OF AN ADVISORY BOARD, INVESTMENT ADVISER OR DEPOSITOR OF, OR PRINCIPAL UNDERWRITER FOR, A REGISTERED INVESTMENT COMPANY OR AFFILIATED PERSON OF SUCH INVESTMENT ADVISER, DEPOSITOR, OR PRINCIPAL UNDERWRITER; AND SUSPENDED FROM PARTICIPATING IN ANY OFFERING OF A PENNY STOCK, INCLUDING: ACTING AS A PROMOTER, FINDER, CONSULTANT, AGENT, OR OTHER PERSON WHO ENGAGES IN ACTIVITIES WITH A BROKER, DEALER, OR ISSUER FOR THE PURPOSES OF THE ISSUANCE OR TRADING IN ANY PENNY STOCK, OR INDUCING OR ATTEMPTING TO INDUCE THE PURCHASE OR SALE OF ANY PENNY STOCK.



Civil - Final

This type of disclosure event involves an injunction issued by a court in connection with investment-related activity or a finding by a court of a violation of any investment-related statute or regulation.

Disclosure 1 of 1

Reporting Source:	Regulator
Initiated By:	UNITED STATES SECURITIES AND EXCHANGE COMMISSION
Relief Sought:	Civil and Administrative Penalty(ies)/Fine(s) Disgorgement Injunction Monetary Penalty other than Fines
Date Court Action Filed:	12/20/2011
Product Type:	Equity-OTC
Type of Court:	Federal Court
Name of Court:	UNITED STATES DISTRICT COURT FOR THE CENTRAL DISTRICT OF CALIFORNIA
Location of Court:	LOS ANGELES, CA
Docket/Case #:	11-CV-1962
Employing firm when activity occurred which led to the action:	WORLD EQUITY GROUP, INC.
Allegations:	SEC LITIGATION RELEASE 22204, DECEMBER 20, 2011: THE SECURITIES AND EXCHANGE COMMISSION FILED A LAWSUIT IN FEDERAL COURT IN LOS ANGELES CHARGING SEVEN DEFENDANTS, INCLUDING A CALIFORNIA LAWYER, IN A SERIES OF BRAZEN FRAUDULENT SCHEMES DESIGNED TO ARTIFICIALLY INFLATE THE SECURITIES OF A COMPANY, WHILE THE LAWYER SECRETLY MADE MILLIONS OF DOLLARS FROM SELLING THE STOCK. THE SEVEN DEFENDANTS CHARGED ARE: A COMPANY, HEADQUARTERED IN CALIFORNIA THAT PURPORTS TO SELL A HEART MONITORING DEVICE. COMPANY COMMON STOCK WAS FORMERLY LISTED ON THE AMERICAN STOCK EXCHANGE BUT IS NOW QUOTED ON THE OTC LINK; A CALIFORNIA ATTORNEY FROM HIDDEN HILLS, CA WHO WAS THE ARCHITECT AND PRINCIPAL BENEFICIARY OF THE FRAUD SCHEMES. THE ATTORNEY CONTROLLED MANY OF THE COMPANY'S BUSINESS ACTIVITIES AND PUBLIC DISCLOSURES; A FORMER PROFESSIONAL FOOTBALL PLAYER FROM ENCINO, CA AND ONE OF THE COMPANY'S CO-CEOS FROM OCTOBER 2008 THROUGH JUNE 2011; A FORMER HOLLYWOOD EXECUTIVE FROM BEVERLY HILLS, CA AND THE ANOTHER OF THE COMPANY'S CO-



CEOS SINCE JUNE 2008; AN UNLICENSED ELECTRICIAN FROM BOCA RATON WHO WORKED AS THE ATTORNEY'S CHAUFFER AND HANDYMAN WHILE CARRYING OUT THE FRAUD WITH THE ATTORNEY; MARK C. NEVDAHL OF SPOKANE, WA, THE TRUSTEE AND STOCK BROKER FOR A NUMBER OF NOMINEE ACCOUNTS THE ATTORNEY USED TO UNLAWFULLY SELL COMPANY STOCK; AND A STOCK PROMOTER FROM SAN CLEMENTE, CA PAID TO TOUT COMPANY STOCK TO INVESTORS.

THE SEC'S COMPLAINT ALLEGES THAT THE COMPANY FRAUDULENTLY AND REPEATEDLY ANNOUNCED MILLIONS OF DOLLARS IN SALES ORDERS FOR ITS PRODUCT BETWEEN 2006 AND 2008. IN FACT, ACCORDING TO THE COMPLAINT, THE COMPANY NEVER HAD VIABLE SALES ORDERS FROM ACTUAL CUSTOMERS, BUT TWO OF THE DEFENDANTS FABRICATED NUMEROUS DOCUMENTS TO SUPPORT THE FALSE DISCLOSURES TO THE PUBLIC. AS ALLEGED IN THE COMPLAINT, THE ATTORNEY PROFITED BY CAUSING THE COMPANY TO UNLAWFULLY PAY ONE OF THE DEFENDANTS APPROXIMATELY \$2 MILLION IN CASH AND COMPANY STOCK PURSUANT TO A SHAM CONSULTING AGREEMENT. THE DEFENDANT KICKED-BACK SUBSTANTIALLY ALL THE PROCEEDS TO THE ATTORNEY.

THE COMPLAINT ALSO ALLEGES THAT IN 2008 THE COMPANY INSTALLED ONE OF THE DEFENDANTS, A CELEBRITY ATHLETE, AND ANOTHER DEFENDANT, A FOUNDER OF A WELL-KNOWN TALENT AGENCY, AS FIGUREHEAD CEOS TO GENERATE PUBLICITY FOR THE COMPANY AND FOSTER INVESTOR CONFIDENCE. HOWEVER, THE SEC ALLEGES THAT THE TWO DEFENDANTS RARELY QUESTIONED THE ATTORNEY'S FRAUDULENT AGENDA AND ABDICATED THEIR FIDUCIARY RESPONSIBILITIES TO SHAREHOLDERS BY SIGNING, OR AUTHORIZING TO BE SIGNED, FALSE SEC FILINGS AND FALSE CERTIFICATIONS UNDER THE SARBANES-OXLEY ACT OF 2002. IN ADDITION, THE COMPLAINT ALLEGES THAT ATTORNEY AND ONE OF THE DEFENDANTS TOGETHER DEFRAUDED AN INDIVIDUAL INVESTOR INTO MAKING A SUBSTANTIAL INVESTMENT IN THE COMPANY BASED ON FALSE REPRESENTATIONS THAT HIS CAPITAL WOULD FUND THE COMPANY'S OPERATIONS. INSTEAD, THE ATTORNEY AND DEFENDANT DIVERTED THE INVESTOR'S PROCEEDS FOR THEIR PERSONAL USE, INCLUDING PURCHASING COMPANY STOCK IN DEFENDANT'S PERSONAL BROKERAGE ACCOUNT TO CREATE THE APPEARANCE OF VOLUME AND DEMAND FOR THE STOCK.

THE ATTORNEY ALSO HIRED PROMOTERS TO TOUT COMPANY STOCK ON THE INTERNET. ACCORDING TO THE COMPLAINT, ONE SUCH PROMOTER, ANOTHER DEFENDANT, SOLICITED NUMEROUS INVESTMENT ADVISERS, RETAIL AND INSTITUTIONAL BROKERS, AND OTHER INVESTORS TO BUY COMPANY STOCK, BUT FAILED TO DISCLOSE HE WAS BEING PAID BY THE COMPANY IN EXCHANGE FOR HIS PROMOTION.



WHILE THE ATTORNEY WAS ORCHESTRATING HIS CAMPAIGN OF MISINFORMATION AND OTHER SCHEMES DESIGNED TO INFLATE THE COMPANY'S STOCK PRICE, THE COMPLAINT ALLEGES THAT HE AND HIS WIFE, A RELIEF DEFENDANT, (CONTINUED IN COMMENT)

Current Status: Final

Resolution: Judgment Rendered

Resolution Date: 08/29/2014

Sanctions Ordered or Relief Granted: Civil and Administrative Penalty(ies)/Fine(s)

Monetary Sanction 1 of 1

Monetary Sanction: Monetary Fine

Total Amount: \$13,000.00

Portion against individual: 13000

Date Paid:

Portion Waived: No

Amount Waived:

Regulator Statement

(CONTINUED FROM #7) AND THE COMPANY'S MAJORITY SHAREHOLDER, DIRECTED THE SALE OF MORE THAN \$5.8 MILLION WORTH OF COMPANY STOCK, WHILE FAILING TO DISCLOSE THE SALES AS REQUIRED UNDER THE FEDERAL SECURITIES LAWS. THE ATTORNEY ENLISTED NEVDAHL, A STOCK BROKER, TO ACT AS TRUSTEE FOR A NUMBER OF PURPORTEDLY BLIND TRUSTS TO CREATE THE FAÇADE THAT THE SHARES WERE UNDER THE CONTROL OF AN INDEPENDENT TRUSTEE. THE TRUSTS WERE BLIND IN NAME ONLY; ACCORDING TO THE COMPLAINT, NEVDAHL MET THE ATTORNEY'S REGULAR DEMANDS FOR CASH BY CONTINUALLY SELLING COMPANY STOCK THROUGH THE TRUSTS.

THE SEC'S COMPLAINT CHARGES NEVDAHL COMMITTED THE FOLLOWING VIOLATIONS OF THE FEDERAL SECURITIES LAWS:

SECTIONS 17(A)(1) AND (3) OF THE SECURITIES ACT; SECTION 10(B) OF THE EXCHANGE ACT; AND EXCHANGE ACT RULES 10B-5(A) AND (C); AND HE AIDED AND ABETTED VIOLATIONS OF SECTIONS 10(B) OF THE EXCHANGE ACT AND EXCHANGE ACT RULES 10B-5(A) AND (C). THE SEC LITIGATION RELEASE 23081, SEPTEMBER 10, 2014: THE SECURITIES AND EXCHANGE COMMISSION ANNOUNCED THAT MARK C.



NEVDAHL HAVE SETTLED CHARGES ARISING OUT OF HIS INVOLVEMENT WITH HEART TRONICS, INC., A MICROCAP COMPANY FORMERLY KNOWN AS SIGNALIFE, INC. THAT THE SEC HAS ALLEGED ENGAGED IN A SERIES OF FRAUDS BETWEEN 2006 AND 2009. WITHOUT EITHER ADMITTING OR DENYING THE SEC'S ALLEGATIONS, NEVDAHL CONSENTED TO PAY A PENALTY OF \$13,000 TO RESOLVE THE SEC'S ACTION. THE COURT ENTERED A FINAL JUDGMENT AGAINST NEVDAHL ON AUGUST 29, 2014.

End of Report



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