

Mark Connolly Director

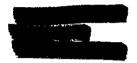
## State of New Hampshire

### Department of State Bureau of Securities Regulation

107 North Main Street, State House Rm. 204 Concord, NH 03301-4989 Telephone: (603) 271-1463

Fax: (603) 271-7933

5/8/2008



Re: Your complaint against Financial Resources and Assistance ("FRA")

Dear A

Reference is made to your complaint. This loan appears to have been made by Dodge Financial Inc. Can you be more descriptive about this transaction? How was FRA involved? Did FRA broker the loan or originate? How where the four NH "investor involved? Are the investors customers of FRA or Dodge Financial? Are there notes from Dodge Financial or FRA back to the four investors?

I'm not sure at this point if the Bureau has jurisdiction over this matter, and I am trying to find out more.

Sincerely,

Jeffrey Spill Deputy Director

cc:file



# STATE OF NEW HAMPSHIRE SECRETARY OF STATE BUREAU OF SECURITIES REGULATION CONCORD, NH 03301

IN THE MATTER OF:	)	SUBPOENA DUCES TECUM
	)	
FINANCIAL RESOURCES AND	)	
ASSISTANCE OF THE LAKES REC	GION,)	
INC., AND SCOTT FARAH	)	File No. INV 00-007
Respondent	)	
	_ )	

Service of Subpeona to:

Financial Resources and Assistance of the Lakes Region, Inc., and Scott Farah, PO Box 1158, 15 Northview Drive, Meredith, NH 03253.

Pursuant to New Hampshire RSA 421-B:3, RSA 421-B:6, 421-B:11, and RSA 421-B:22 the State of New Hampshire, Department of State, Bureau of Securities Regulation ("the Bureau") hereby requires Financial Resources of The Lakes Region, Inc., and Scott Farah, to search and produce any and all of the following documents which are now in your custody, control and possession, as soon as reasonably practical no later then twenty (10) days from the date of this Subpoena.

#### **DEFINITIONS**

1. "FRA" refers to Financial Resources and Assistance of The Lakes Region, or any entity, person, agent or employee acting on its behalf.

- 2. "Document" encompasses all items, whether written, printed, typed, drawn, recorded, tape-recorded, videotaped, graphic or photographic matter, and all copies of such documents unless such document is identical in every respect with the original thereof produced. Document includes, but is not limited to, correspondences, memorandum, notes, drafts, records, agreements, certificates and legal or financial instruments.
- 3. "Security" encompasses all items as defined by RSA 421-B:2,XX(a).
- 4. "Person" encompasses all entities defined by RSA 421-B:2,XVI.

#### **INSTRUCTIONS**

- 1. If any requested document was, but is no longer, in your possession or subject to your control, state what disposition was made of the document and, if the document is, to the best of your knowledge, still in existence, identify the person who has possession or control of the document.
- If a request seeks a specific document or an itemization category which is not in your possession, control, or custody, provide any document you have that contains all or part of the information contained in the requested document or category.
- 3. With respect to each document which is withheld from production for any reason of privilege, provide a statement setting forth:
  - a) the name and title of the author;
  - b) the name and the title of the person to whom the document was addressed;
  - c) the name and titles of those to whom copies of the document were sent;
  - d) the date on which the document was written or otherwise produced and the date on which it was mailed or sent;
  - e) the number of pages;

- f) a brief description of the document;
- g) provide a legal memorandum setting forth the grounds upon which it is being withheld; and
- h) the paragraph number to which the document is otherwise responsive.
- 4. With respect to each document produced pursuant to this subpoena, indicate the paragraph to which each document is responsive.
- 5. This information, when provided, shall be grouped according to and labeled with the corresponding request number.

#### **DOCUMENTS TO BE PRODUCED**

- A list of every shareholder, security holder, or security owner of FRA since the date of incorporation of 5/18/89 to the present time including persons who have resold, redeemed, or otherwise disposed of their interests.
  - a) This list shall state the type of share or security held or owned, the name and address of the owner or holder, the date of sale or distribution, and the amount, type, and dollar value of any consideration given in exchange for the share or security.
- 2) A copy of any correspondence to or from FRA or Scott Farah related to or referencing the transactions listed under paragraph 1 above.
- 3) A list and copy of any promissory note or investment contract issued from 1/01 to the present by FRA or Scott Farah not including any promissory note issued in exchange for real estate.
- 4) A copy of all reviewed, compiled, or audited financial statements of FRA for the past four years.

SECRETARY OF STATE
WILLIAM M. GARDNER
By his designee:

Date: August 1, 2002

Mark Connolly, Director Bureau of Securities Regulation State House, Room 204 Concord, NH 03301-4989

All correspondence or inquiries should directed to either Mark Connolly or Barry Glennon at the N.H. Bureau of Securities Regulation, State House Room 204
Concord, N.H. 03301 603-271-1463.