



**STATE OF ARIZONA  
OFFICE OF ATTORNEY GENERAL**

2005 North Central Avenue  
Phoenix, Arizona 85004  
(602) 542-8465

**REQUEST TO PRODUCE RECORDS**

TO: Custodian of Records  
Continental Exchange Solutions, Inc./ RIA Financial Services  
7001 Village Drive, Suite 200  
Buena Park, CA 90621  
ATTN: Legal Dept.

YOU ARE HEREBY COMMANDED, pursuant to A.R.S. § 13-2315, to produce for examination and copying by the Attorney General of the State of Arizona the following described records:

Data, including the data fields described on the attached Data Appendix, relating to each send and each receive transaction of \$500 and greater, sent to or from the states of Arizona, California, New Mexico, Texas and the country of Mexico on a bi-weekly schedule as each such period becomes available, beginning with July 1, 2019 and ending with December 31, 2019. **(PLEASE NOTE AN ADDITIONAL DATA FIELD HAS BEEN ADDED TO THE DATA APPENDIX REQUESTING REFERENCE TO THE SUBPOENA IDENTIFICATION NUMBER. FOR THIS DATA FIELD PLEASE INCLUDE REFERENCE NUMBER: AZAG2019RTP1).**


The data is to be delivered electronically to the Arizona Attorney General's Office by delivery to its "SFTP" (Secure File Transfer Protocol) site in a delimited text files format.

All information about transaction details must be contained in one, consolidated table and should only contain completed (sent and paid) transactions. The database is to exclude Commercial Payment (customers paying bills to corporations and businesses and business sending to employees or customers) transactions. A data dictionary should also be provided including a definition of each field, both of its formatting characteristics and plain-English meaning. All fields which are "coded", "lookups" or are abbreviations require the descriptions (full verbose values) to also be provided, including but not limited to country codes and identification types.


This request is made in connection with the lawful performance of my official duties as an Assistant Attorney General of the State of Arizona, in order to investigate racketeering as defined by A.R.S. § 13-2301(D)(4) or a violation of A.R.S. § 13-2312. Your failure to comply in full with this request will subject you to the proceedings provided by A.R.S. § 13-2315(B).


NOTICE: This is a felony investigation. Either warning another person of impending felony prosecution or suppressing physical evidence by concealment, alteration or destruction in a felony investigation are each separate felonies. A.R.S. § 13-2510(2) and (5); § 13-2512.

Please contact the Arizona Attorney General's Office through its Investigator Chad Brink at [chad.brink@azag.gov](mailto:chad.brink@azag.gov) for any questions regarding production of this request and through its agent Mike Robinson at [mike.robinson@forcepoint.com](mailto:mike.robinson@forcepoint.com) for the secure VPN address, and to define a new CSV standard if necessary, for the data delivery.

  
\_\_\_\_\_  
Kalon Metz  
Assistant Attorney General  
Arizona Attorney General's Office

SUBSCRIBED AND SWORN to before me this 10<sup>th</sup> day of June, 2019 by Kalon Metz.

  
\_\_\_\_\_  
Notary Public



My Commission expires: 10/09/2019

**DATA APPENDIX AS LINE ITEMS**

Subpoena Identification Number: **AZAG2019RTP1**

Money Transfer Control Number

Record date & time

Pay date & time

Principal

Sending operator name

Paying operator name

Sending agent number

Sending agent name

Sending agent address

Sending agent city

Sending Agent State

Sending agent zip code

Paying agent number

Paying agent name

Paying agent address

Paying agent city

Paying agent state

Paying agent zip code

Sending currency

Paying currency

Sending country

Paying country

Sender name

Sender address

Sender city

Sender state

Sender zip

Sender phone

Sender DOB

Sender occupation

Sender identification type

Sender identification type description

Sender identification issuer

Sender identification number

Sender SSN (ID2)

Payee name

Payee address

Payee city

Payee state

Payee zip

Payee phone

Payee DOB

Payee occupation

Payee identification type  
Payee identification type description  
Payee identification issuer  
Payee identification number  
Payee SSN (ID2)

And:

**Web Based Transfers:**

**Sender IP Address** used during web account creation  
**Sender IP Address** used to send transaction  
**Sender Email Address** used to create web based account  
**Sender Email Address** used to send transaction  
**Sender Source Account Number**  
**Sender Name on Web Based Account**  
**Sender Included reasons for transaction (if any)**

**Certificate of Service**

The undersigned swears (or affirms) that he/she served this Request to Produce Records and did so by personally sending the original by certified mail, return receipt requested, to Custodian of Records, Continental Exchange Solutions, Inc., dba Ria Financial Services, 7001 Village Drive, Suite 200, Buena Park, CA 90621 ATTN: Legal Dept. and emailing a copy to [jpompa@riafinancial.com](mailto:jpompa@riafinancial.com) and [dcoleman@riafinancial.com](mailto:dcoleman@riafinancial.com) at 2:00 p.m on the 10<sup>th</sup> day of June, 2019.



Officer or Agent

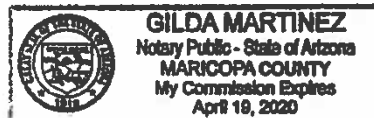
SUBSCRIBED AND SWORN to before me this 10<sup>th</sup> day of June, 2019 by Chad Brink.



Notary Public

My Commission Expires:

4/19/2020



**Keppler, Carol**

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**From:** Keppler, Carol  
**Sent:** Monday, June 10, 2019 2:58 PM  
**To:** jpompa@riafinancial.com; dcoleman@riafinancial.com  
**Subject:** Request to Produce Records  
**Attachments:** 2019\_12\_31 CES-RIA \$500, AZ, CA, NM, TX and MX.pdf

Hello,

I've attached a copy of the Records to Produce Records to CES-RIA for the period July 1, 2019 to December 31, 2019.

Thank you

## Track Another Package +

**Tracking Number:** 9171999991703932999465

Remove X

Your package will arrive later than expected, but is still on its way. It is currently in transit to the next facility.

### In-Transit

June 17, 2019  
In Transit, Arriving Late

Get Updates ▾

- Text & Email Updates** ▾
- Return Receipt Electronic** ▾
- Tracking History** ▲
- June 17, 2019**  
In Transit, Arriving Late  
Your package will arrive later than expected, but is still on its way. It is currently in transit to the next facility.
- June 13, 2019, 3:45 pm**  
Departed USPS Regional Destination Facility  
SANTA ANA CA DISTRIBUTION CENTER
- June 13, 2019, 2:13 pm**  
Arrived at USPS Regional Destination Facility  
SANTA ANA CA DISTRIBUTION CENTER
- June 12, 2019, 10:09 pm**  
Departed USPS Regional Origin Facility  
PHOENIX AZ DISTRIBUTION CENTER
- June 12, 2019, 6:49 pm**  
Arrived at USPS Regional Origin Facility  
PHOENIX AZ DISTRIBUTION CENTER
- June 12, 2019, 5:34 pm**  
Accepted at USPS Origin Facility  
PHOENIX, AZ 85007
- Product Information** ▾

Feedback

RTP's July 1 to Dec 31, 2019

BBVA - 91 7199 9991 7039 3299 9489

Boss Rev - IDT - 91 7199 9991 7039 3299 9472

CES-RIA - 91 7199 9991 7039 3299 9465

Dolex - 91 7199 9991 7039 3299 9458

Enramex - 91 7199 9991 7039 3299 9441

Intercambio - 91 7199 9991 7039 3299 9434

Maxi transfers - 91 7199 9991 7039 3299 9427

MG - 91 7199 9991 7039 3299 9410

Omnex - 91 7199 9991 7039 3299 9403

Sique - 91 7199 9991 7039 4340 6006

Transnetwork - 91 7199 9991 7039 4340 5993

Uniteller - 91 7199 9991 7039 4340 5986

VIAmericas - 91 7199 9991 7039 4340 5979