

BEFORE THE  
DIVISION OF SECURITIES  
DEPARTMENT OF FINANCIAL INSTITUTIONS  
STATE OF WISCONSIN

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In the Matter of  
THOMAS R. ANDERSON SR.,

PETITION FOR ORDER

Respondent.

File No. S-05033(EX)

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The staff of the Bureau of Registration & Enforcement, of the Division of Securities, Department of Financial Institutions, State of Wisconsin has conducted an investigation in this matter pursuant to sec. 551.56, Wis. Stats. and as a result thereof alleges as follows:

1. Thomas R. Anderson Sr. (DOB 5-20-62) ("Anderson") is an individual whose last known address is 5904 Leanne Lane, McFarland, Wisconsin 53558.
2. Head West Productions LLC is a business entity with a last known address of 4005 Dolphin Drive, Madison, Wisconsin 53719.
3. From at least February 21, 2003 through December 31, 2003 Head West Productions LLC ("Head West") was a registered Limited Liability Company in the state of Tennessee.
4. Head West was formerly known as Head West Records, Inc. From at least April 29, 2002 through April 1, 2004 Head West Records, Inc. was a qualified, registered corporation in the state of Wisconsin.
5. From at least April 29, 2002, Anderson was CEO (Chief Executive Officer) and Chairman of Head West.
6. From at least February 1, 2003 through February 28, 2003, Anderson offered and sold shares of stock in Head West Records, Inc. to at least 2 individuals in Wisconsin.
7. From at least March 1, 2003 through July 15, 2004, Anderson offered and sold shares of stock in Head West Productions LLC to at least 10 individuals in Wisconsin.
8. The transactions described in Paragraph 6 and Paragraph 7, the offer & sale of a stock, is a "security" as defined in sec. 551.02(13)(a), Wis. Stats.
9. During the offer and sale of the stock described in Paragraphs 6 & 7, Anderson told Wisconsin individuals that Anderson was independently wealthy ("a trust fund baby") and that he did not need any money and would pay his own business travel expenses.
10. In reality, Anderson was not wealthy and he did not pay for much, if any, of his business travel expenses.
11. During the offering and sale of stock described in Paragraphs 6 & 7, Anderson told Wisconsin individuals that Head West had no debt.
12. In reality, during the offering and sale of stock Head West already had mounting significant debt.

