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10 BEFORE THE DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
11 OF THE STATE OF CALIFORNIA

12 In the Matter of:

CRD NO.: 277160

13 THE COMMISSIONER OF FINANCIAL
14 PROTECTION AND INNOVATION,

ORDER REVOKING INVESTMENT
ADVISER CERTIFICATE

15 Complainant,

(Cal. Corp. Code §§ 25232, 25242)

16 v.

17 FOCAL POINT CAPITAL MANAGEMENT,
18 LLC,

19
20 Respondent.

21
22 TO: FOCAL POINT CAPITAL MANAGEMENT, LLC

23 1. On August 27, 2024, the Commissioner of Financial Protection and Innovation
24 (Commissioner) issued an Accusation and the Commissioner’s Notice of Intention to Issue an Order
25 Revoking Investment Adviser Certificate (Notice of Intention) of Focal Point Capital Management,
26 LLC (Respondent). The attached Accusation, which is incorporated by reference, states the reasons
27 for the intended order.

28 2. Multiple attempts were made to serve the Accusation, Notice of Intention, Statement

1 to Respondent, Notice of Defense, and Government Code sections 11507.5, 11507.6, and 11507.7
2 (collectively, Revocation Action) on the Respondent at its last known addresses.

3 3. On October 10, 2024, the Respondent was served with the Revocation Action by
4 serving the Commissioner, pursuant to Corporations Code section 25550.

5 4. The Notice of Intention specifically informed the Respondent that unless a request for
6 a hearing, as evidenced by the mailing or delivery of the Notice of Defense, was received by the
7 Commissioner within 30 days after the Revocation Action was served, the revocation order may be
8 entered at any time thereafter without a hearing. To date, no request for a hearing has been made by
9 the Respondent.

10 5. The Accusation that was previously served upon Respondent is incorporated by
11 reference and states the reasons for this order.

12 NOW GOOD CAUSE APPEARING THEREFORE, IT IS ORDERED that, pursuant to
13 Corporations Code sections 25232 and 25242, the investment adviser certificate of Focal Point
14 Capital Management, LLC is hereby revoked. This order is effective immediately.

15 This Order is necessary, in the public interest, for the protection of investors, and consistent
16 with the purposes, policies, and provisions of the Corporate Securities Law.

17 DATED: November 26, 2024
18 Sacramento, California

CLOTHILDE V. HEWLETT
Commissioner of Financial Protection and Innovation

19 By: _____
20 MARY ANN SMITH
21 Deputy Commissioner
22 Enforcement Division

