

1 MARY ANN SMITH
2 Deputy Commissioner
3 Attorney for Complainant

4 BEFORE THE DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
5 OF THE STATE OF CALIFORNIA

6 In the Matter of:

CRD Nos.: 112502 and 2346778

7 THE COMMISSIONER OF FINANCIAL
8 PROTECTION AND INNOVATION,

ORDER TO DISCONTINUE VIOLATIONS

9 Complainant,

(Cal. Corp. Code § 25249)

10 v.

11 KAHN, RONNIE ALAN and RONNIE A.
12 KAHN,

13 Respondents.

14 TO: Kahn, Ronnie Alan and Ronnie A. Kahn
15 6533 Topanga Canyon Blvd, Suite 525
16 Woodland Hills, CA 91367

17 The Commissioner of Financial Protection and Innovation (Commissioner) is authorized to
18 administer and enforce the provisions of the Corporate Securities Law of 1968 (CSL)¹ and the
19 regulations promulgated thereunder², pursuant to the authority granted in Financial Code section
20 326(a).

21 The Commissioner finds that Kahn, Ronnie Alan (KRA) (Central Registration Depository
22 No. 112502)³ an investment adviser licensed by the Commissioner since September 24, 1998, and
23 Ronnie A. Kahn (CRD No. 2346778), the sole owner and investment adviser representative of
24 KRA, violated the following section of the CSL.

25 Pursuant to section 25236(a) and 10 C.C.R. 260.236.2(b) and (g), every licensed investment

26 ¹ See Cal. Corp. Code §§ 25000-25707. Unless stated otherwise, all section references are to the California Corporations Code.

27 ² See Cal. Code Regs. tit. 10, §§ 260.000-260.617. All further references will employ the format of 10 C.C.R. [section #].

28 ³ The Central Registration Depository (CRD) and Investment Adviser Registration Depository (IARD) are databases maintained by the Financial Industry Regulatory Authority (FINRA) since 2007. They are used to store and maintain information on registered securities and broker firms, as well as individuals who dispense investing and financial advice.

1 adviser is required to have its investment adviser representatives complete and report the requisite
2 continuing education credits for each reporting period (IARCE).

3 On or about April 9, 2025, July 1, 2025, August 7, 2025, September 30, 2025, October 13,
4 2025, October 21, 2025, October 27, 2025, October 29, 2025, November 3, 2025, November 7, 2025,
5 November 17, 2025, November 24, 2025, December 8, 2025, and December 15, 2025, the
6 Commissioner notified KRA, by electronic mail, that IARCE was overdue. Additionally, on or about
7 December 5, 2024, and December 3, 2025, the Commissioner notified KRA, by telephone calls, that
8 IARCE was overdue. As of the date of this order, the IARCE has still not been reported, in violation
9 of section 25236(a) and 10 C.C.R. 260.236.2(b) and (g).

10 NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby
11 ORDERED, under the provisions of section 25249, that Kahn, Ronnie Allen and Ronnie A. Kahn
12 discontinue the violations of section 25236(a) and 10 C.C.R. 260.236.2(b) and (g). The
13 Commissioner finds this action is appropriate, in the public interest, necessary for the protection of
14 investors, and consistent with the purposes fairly intended by the CSL.

15 Dated: January 14, 2026

KHALIL MOHSENI
Commissioner of Financial Protection and Innovation



16
17 By: _____
18 JERRY TWOMEY
19 Deputy Commissioner
20 Broker-Dealer Investment Adviser Division
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