

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.: 297568 and 6882384

7 THE COMMISSIONER OF FINANCIAL
8 PROTECTION AND INNOVATION,

ORDER TO DISCONTINUE VIOLATIONS

9 Complainant,

(Cal. Corp. Code § 25249)

10 v.

11 RORA WEALTH, INC. and SAMUEL
12 DEANE,

13 Respondents.

14 TO: Rora Wealth, Inc. and Samuel Deane
15 3280 Peachtree Rd, 7th Floor
16 Atlanta, GA 30305

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 Rora Wealth, Inc. (RW) (Central Registration Depository No.
22 297568)³ an investment adviser licensed by the Commissioner since November 4, 2021, and
23 Samuel Deane (CRD No. 6882384), the sole owner and investment adviser representative of RW,
24 violated the following section of the CSL.

25 Pursuant to section 25236 and 10 C.C.R. 260.236.1(a)(2), every licensed investment adviser is

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 prohibited from conducting business in this state unless its investment adviser representatives are
2 registered with the Commissioner. From at least January 1, 2026, through the date of this order, RW's
3 sole investment adviser representative, Samuel Deane, was not registered with the Commissioner.
4 Furthermore, RW did not meet the conditions to conduct business in this state, based upon its failure
5 to meet such specified and appropriate standards.

6 On or about January 29, 2026, the Commissioner notified RW, by electronic mail, that RW's
7 sole investment adviser representative, Samuel Deane, was not registered with the Commissioner.
8 The Commissioner informed Respondents that non-compliance may result in an enforcement action.
9 As of the date of this order, Samuel Deane is not registered with the Commissioner.

10 NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby
11 ORDERED, under the provisions of section 25249, that Rora Wealth, Inc. and Samuel Deane
12 discontinue the violations of section 25236 and 10 C.C.R. 260.236.1(a)(2). The Commissioner finds
13 this action is appropriate, in the public interest, necessary for the protection of investors, and
14 consistent with the purposes fairly intended by the CSL.

15 Dated: February 4, 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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