

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 No.: 136282

7 THE COMMISSIONER OF FINANCIAL  
8 PROTECTION AND INNOVATION,

ORDER TO DISCONTINUE VIOLATIONS

9 Complainant,

(Cal. Corp. Code § 25249)

10 v.

11 BARTLETT, LAWRENCE EUGENE,

12 Respondent.

13 TO: Lawrence Eugene Bartlett  
14 150 N. Santa Anita Ave, Suite 300  
15 Arcadia, CA 91006

16 The Commissioner of Financial Protection and Innovation (Commissioner) is authorized to  
17 administer and enforce the provisions of the Corporate Securities Law of 1968 (CSL)<sup>1</sup> and the  
18 regulations promulgated thereunder<sup>2</sup>, pursuant to the authority granted in Financial Code section  
19 326(a). The Commissioner finds that Lawrence Eugene Bartlett an investment adviser licensed by  
20 the Commissioner since September 24, 1987 (Central Registration Depository No. 136282)<sup>3</sup>  
21 violated the CSL by:

- 22 1. Conducting business as an investment adviser without meeting specified and  
23 appropriate standards (section 25236(a)) by failing to have its investment adviser  
24 representatives registered with the Commissioner (10 C.C.R. 260.236.1(a)(1)(2)); and

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

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

28 <sup>3</sup> 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.

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2. Failing to maintain books and records (section 25241(a)) by failing to maintain updated information on its Form ADV on IARD (10 C.C.R. 260.241.4(a)(d)).

NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby ORDERED, under the provisions of section 25249, that Lawrence Eugene Bartlett discontinue violating the following: section 25236; 10 C.C.R. 260.236.1(a)(1)(2); section 25241; and 10 C.C.R. 260.241.4(a)(d) within 30 days of the date of this order. The Commissioner finds this action is appropriate, in the public interest, necessary for the protection of investors, and consistent with the purposes fairly intended by the CSL.

Dated: April 24, 2026

KHALIL MOHSENI  
Commissioner of Financial Protection and Innovation



By: \_\_\_\_\_  
JERRY TWOMEY  
Deputy Commissioner  
Broker-Dealer Investment Adviser Division