

1 annum. BMI and Mohr hosted dinners with California investors and the vice president of Equialt to
2 effect transactions in securities in the form of investment agreements in Equialt.

3 4. Beginning in at least 2017, BMI and Mohr offered, sold and effected transactions in
4 securities in the form of promissory notes and investment agreements with Petro Rock Mineral
5 Holdings, LLC. (PRMH), a Texas limited liability company specializing in oil and gas funding,
6 drilling and excavation. PRMH created various investment fund Delaware limited liability
7 companies known as PRMH Lenders Fund, LLC., PRMH Lenders Fund II, LLC. and PRMH Lenders
8 Fund IV, LLC. California investors invested in these oil and gas excavation funds by way of
9 promissory notes and investment agreements offered, sold and effected by BMI and Mohr.
10 California investors transferred over \$25,000.00 to PRMH funds, some using retirement funds, for 1
11 year in exchange for a profit of at least 8% annum. BMI and Mohr signed the promissory notes
12 and/or investment agreements as “agent” by electronic signature through “DocuSign.”

13 5. Beginning in at least 2017, BMI and Mohr offered, sold and effected transactions in
14 securities in the form of promissory notes and investment agreements with Legacy Energy, LLC.
15 (Legacy), a Nevada limited liability company that specialized in making energy, oil and gas business
16 loans. Legacy made loans to PRMH for exploration purposes through Resolute Capital Partners,
17 LLC., a Nevada limited liability company. Over nine California investors invested in these oil and
18 gas excavation funds by way of promissory notes and investment agreements offered, sold and
19 effected by BMI and Mohr. California investors transferred over \$400,000.00 to Legacy, some using
20 retirement funds, for 1 year in exchange for a profit of at least 8% annum. BMI and Mohr signed the
21 promissory notes and/or investment agreements as “agent” by electronic signature through
22 “DocuSign.”

23 6. Beginning in at least 2017, BMI and Mohr offered, sold and effected transactions in
24 securities in the form of investment agreements and/or evidences of indebtedness in 1 Global Capital,
25 LLC. (Global), a Florida limited liability company engaged in the business of funding merchant cash
26 advance transactions, through American Alternative Investments, LLC., an Indiana limited liability
27 company. At least 5 California investors transferred over \$100,000.00 to Global for variable periods
28 of time in exchange for a profit of at least 3% per annum. BMI and Mohr executed an “advisor

1 disclosure” statement as “agent” in the process of effecting transactions in the above referenced
2 securities.

3 7. CSL section 25004 defines “broker-dealer” as any person engaged in the business of
4 effecting transactions in securities in this state for the account of others or for his own account.

5 8. CSL section 25210, subdivision (a), prohibits a broker-dealer from effecting any
6 transaction in or induce or attempt to induce the purchase or sale of, any security in this state unless
7 the broker-dealer has first applied for and secured from the commissioner a certificate, then in effect,
8 authorizing that person to act in that capacity.

9 9. BMI and Mohr have never obtained a certificate to act as a broker-dealer under CSL
10 section 25210 and is not exempt from the licensure requirement.

11 Based on the foregoing findings, the Commissioner is of the opinion that Ben Mohr, Inc. and
12 Benjamin Charles Mohr are subject to the laws regulating broker-dealers under Corporate Securities
13 Law of 1968, and has affected transactions in, or induced, or attempted to induce the purchase or sale
14 of, securities as broker-dealers, without having first applied for and secured from the Commissioner a
15 certificate authorizing these persons to act in that capacity, in violation of CSL section 25210.

16 Pursuant to CSL section 25532, Ben Mohr, Inc. and Benjamin Charles Mohr are hereby
17 ordered to desist and refrain from conducting business as a broker-dealer, unless and until
18 certification has been made under said law or unless exempt.

19 This Order is necessary, in the public interest, for the protection of investors and consistent
20 with the purposes, policies and provisions of the Corporate Securities Law of 1968.

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22 Dated: October 22, 2018
23 Sacramento, California

JAN LYNN OWEN
Commissioner of Business Oversight

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25 By _____
26 MARY ANN SMITH
27 Deputy Commissioner
28 Enforcement Division