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Deputy Commissioner
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4 Department of Business Oversight
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Attorneys for Complainant

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10 BEFORE THE DEPARTMENT OF BUSINESS OVERSIGHT
11 OF THE STATE OF CALIFORNIA

12 In the Matter of:) CFL LICENSE NO. 603-H755
13)
14) NOTICE OF PETITION FOR
BREAKWATER STRUCTURED GROWTH) REINSTATEMENT
15) (California Government Code Section 11522)
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17)
18)
19)
20)

21 TO: Chief Financial Officer
22 Harry Chung
23 1999 Avenue of the Stars, Suite # 3430
Los Angeles, CA 90067

24 KAMALA D. HARRIS
25 ATTORNEY GENERAL, STATE OF CALIFORNIA
26 Department of Justice
27 P.O. Box 944255
Sacramento, California 94244-2550
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1 Pursuant to Government Code section 11522, you are hereby notified that on April 26, 2016,
2 Respondent, BREAKWATER STRUCTURED GROWTH OPPORTUNITIES FUND, L.P.
3 (“Breakwater”), filed a Petition for Reinstatement of License (“Petition”) with the Commissioner of
4 Business Oversight (“Commissioner”). A true and correct copy of the Petition without exhibits is
5 attached hereto and incorporated herein as Exhibit 1.

6 The Commissioner, on July 29, 2014, issued an order revoking the California Finance
7 Lenders Law license of Breakwater for failure to file its annual report as required by Financial Code
8 section 22715. A true and correct copy of the revocation order is attached hereto and incorporated
9 herein as Exhibit 2.

10 YOU ARE HEREBY FURTHER NOTIFIED that written argument and/or further written
11 argument may be presented in this matter and should be received by the Department of Business
12 Oversight **on or before September 30, 2016**, at its office located at 320 West 4th Street, Suite 750,
13 Los Angeles, California 90013-2344, attention: Johnny Vuong, Senior Counsel.

14 The Commissioner shall render a decision in this matter on or before **October 7, 2016**.

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16 Dated: September 22, 2016
17 Los Angeles, California

JAN LYNN OWEN
Commissioner of Business Oversight

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19 By _____
20 Johnny Vuong
21 Senior Counsel
22 Enforcement Division
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