

1 MARY ANN SMITH  
Deputy Commissioner  
2 SEAN ROONEY  
Assistant Chief Counsel  
3 BLAINE A. NOBLETT (State Bar No. 235612)  
Senior Counsel  
4 VANESSA T. LU (State Bar No. 295217)  
Counsel  
5 Department of Business Oversight  
6 320 West 4th Street, Suite 750  
7 Los Angeles, California 90013-2344  
8 Telephone: (213) 576-7632  
9 Facsimile: (213) 576-7181  
Attorneys for Complainant

10 BEFORE THE DEPARTMENT OF BUSINESS OVERSIGHT  
11 OF THE STATE OF CALIFORNIA  
12

13		)	OAH CASE NO.: 2018040780
14	In the Matter of the Statement of Issues:	)	
15	THE COMMISSIONER OF BUSINESS	)	CRD NO.: 147991
16	OVERSIGHT,	)	
17	Complainant,	)	FINAL ORDER TO DISCONTINUE
18		)	VIOLATIONS PURSUANT TO
19	v.	)	CORPORATIONS CODE SECTION 25249
20	MIRAE ASSET WEALTH MANAGEMENT	)	
21	(USA) INC.,	)	
22	Respondent.	)	
23		)	
24	In the Matter of the Order to Discontinue	)	
25	Violations of:	)	
26	THE COMMISSIONER OF BUSINESS	)	
27	OVERSIGHT,	)	
28	Complainant,	)	
	v.	)	
	MIRAE ASSET WEALTH MANAGEMENT	)	
	(USA) INC.,	)	
	Respondent.	)	

1 TO: John W. Park, Chief Compliance Officer  
2 Mirae Asset Wealth Management (USA) Inc.  
3 3701 Wilshire Boulevard, Suite 101  
4 Los Angeles, California 90010

5 Jan Lynn Owen, the Commissioner of Business Oversight finds that:

6 Mirae Asset Wealth Management (USA) Inc. (Mirae AWM) previously violated the  
7 Corporate Securities Law of 1968 (CSL) (Corp. Code, § 25000 et seq.) and the rules and regulations  
8 promulgated under title 10 of the California Code of Regulations (CCR) (Cal. Code Regs., tit. 10, §  
9 260.000 et seq.). Specifically, Mirae AWM violated Corporations Code section 25241 and CCR  
10 section 260.241.3, subdivisions (a)(7) and (e)(2), by failing to maintain financial books and records in  
11 the manner required.

12 NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby  
13 ORDERED under the provisions of Corporations Code section 25249, that Mirae AWM discontinue  
14 any further violations of Corporations Code section 25241 and CCR section 260.241.3, subdivisions  
15 (a)(7) and (e)(2).

16 Dated: September 14, 2018  
17 Sacramento, CA

JAN LYNN OWEN  
Commissioner of Business Oversight

18 By \_\_\_\_\_  
19 MARY ANN SMITH  
20 Deputy Commissioner  
21 Enforcement Division  
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