

**SUMMARY OF ENFORCEMENT ACTIONS (ADMINISTRATIVE AND CIVIL)
BY THE CALIFORNIA DEPARTMENT OF BUSINESS OVERSIGHT
September 2017**

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Sweet Life Homes, LLC Heather Lynn Thompson Michael Irwin Thompson San Rafael, California	Desist and Refrain Order September 1, 2017	Unlawful Offer and Sale of Securities (Corporations Code Section 25110)
NorthMarq Capital Finance, L.L.C. Bloomington, Minnesota	Order Granting Petition for Reinstatement and Reinstating License September 5, 2017	Unlawful Finance Lenders Law Activity (Government Code Section 11522)
Adrian Simon Legacy Wealth Management, LLC aka Legacy Management Richport Capital, LLC Stevenson Ranch, California Santa Clarita, California	Desist and Refrain Order September 5, 2017	Unlawful Investment Adviser Activity (Corporations Code Sections 25210 and 25230)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Med-X, Inc. David E. Toomey Matthew A. Mills Ronald J. Tchorzewski Canoga Park, California	Settlement Agreement September 6, 2017	Unlawful Offer and Sale of Securities (Corporations Code Sections 25110 and 25401)
Randall Steven Huyser dba Full Compass Investment Advisors Mill Valley, California Sausalito, California	Consent Order September 7, 2017	Unlawful Investment Adviser Activity (Corporations Code Sections 25230, 25230(a), 25532(b) and 25530)
Joseph Francis Diez dba Alii Consulting San Francisco, California	Accusation in Support of Order Revoking Investment Adviser Certificate September 8, 2017	Unlawful Investment Adviser Activity (Corporations Code Section 25232)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
<p>Top Flite Financial, Inc. Williamston, Michigan</p>	<p>Statement of Facts in Support of Order to Discontinue Violations and Notice of Intent to Make Order Final</p> <p>Order to Discontinue Violations</p> <p>September 8, 2017</p>	<p>Unlawful Residential Mortgage Lending Activity</p> <p>(Financial Code Section 50321)</p>
<p>Joseph Novelli Phoenix, Arizona</p>	<p>Order Denying Application for Mortgage Loan Originator License</p> <p>September 12, 2017</p>	<p>Non-Issuance of Mortgage Loan Originator License</p> <p>(Financial Code Section 22109.1)</p>
<p>Grand Castle, Inc. Walnut, California</p>	<p>Desist and Refrain Order</p> <p>September 12, 2017</p>	<p>Unlawful Investment Adviser Activity</p> <p>(Corporations Code Section 25245)</p>

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Abundance Entertainment, LLC Poker Junkies Production, LLC Mars Callahan John Hermansen New Orleans, Louisiana Metairie, Louisiana Los Angeles, California	Desist and Refrain Order September 15, 2017	Unlawful Offer and Sale of Securities (Corporations Code Section 25401)
Cornerstone Home Lending, Inc. Houston, Texas	Statement of Facts in Support of Order to Discontinue Violations and Notice of Intent to Make Order Final Order to Discontinue Violations September 18, 2017	Unlawful Residential Mortgage Lending Activity (Financial Code Section 50321)
Scott Allensworth Capital Growth Group Associates David Weddle Valencia, California	Desist and Refrain Order September 18, 2017	Unlawful California Commodity Law Activity (Corporations Code Sections 29520 and 29536)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Western Pioneer Financial, Inc. Clovis, California	Order Conditionally Granting Petition for Reinstatement September 20, 2017	Unlawful Finance Lenders Law Activity (Government Code Section 11522)
Two Lakes Capital Advisors, LLC Robert Allen Berlacher Chicago, Illinois	Settlement Agreement September 22, 2017	Unlawful Investment Adviser Activity (Corporations Code Sections 25232 and 25232.1)
Instant Cash, Inc. dba Advance Cash Palm Desert, California Winterhaven, California	Accusation to Revoke Deferred Deposit Transaction Licenses Citations and Desist and Refrain Order September 25, 2017	Unlawful Deferred Deposit Transaction Law Activity (Financial Code Sections 23023, 23024, 23035(a), 23035(e), 23036(c), 23036(a), 23036(g), 23036(f), 23037(h), 23037(f), 23035, 23052, 23050 and 23058)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
James Walter Darden III dba Integrity Financial Management Watsonville, California	Consent Order September 25, 2017	Unlawful Investment Adviser Activity (Corporations Code Sections 25230 and 25232(b))
Perl Mortgage, Inc. Chicago, Illinois	Statement of Facts in Support of Order to Discontinue Violation and Notice of Intent to Make Order Final Order to Discontinue Violation September 27, 2017	Unlawful Residential Mortgage Lending Activity (Financial Code Section 50321)
Network Funding, LP Houston, Texas	Statement of Facts in Support of Order to Discontinue Violation and Notice of Intent to Make Order Final Order to Discontinue Violation September 27, 2017	Unlawful Residential Mortgage Lending Activity (Financial Code Section 50321)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Kracksmith, Inc. San Marino, California	Settlement Agreement September 28, 2017	Unlawful Finance Lenders Law Activity (Financial Code Section 22159)