

**SUMMARY OF ENFORCEMENT ACTIONS (ADMINISTRATIVE AND CIVIL)
 BY THE CALIFORNIA DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
 November 2020**

| SUBJECT | ACTION | VIOLATIONS & CHARGING SECTIONS |
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| Norbertas Sinica Encino, California | Order Barring Norbertas Sinica From Directly or Indirectly Soliciting Property Owners to Enter into a PACE Assessment Contracts November 2, 2020 | Unlawful California Financing Law Activity (Financial Code Section 22690 and 22690(c)(2)(C)) |
| Neighborhood Networks Publishing, Inc. Wilmington, North Carolina | Consent Order November 2, 2020 | Unlawful Franchise Investment Law Activity (Corporations Code Sections 31110, 31402, 31119, 31406 and 31408) |

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| <p>Stefanie Shackelford aka Stephanie Shackelford</p> <p>Sonoma, California</p> | <p>Statement of Issues to Bar Stefanie Shackelford aka Stephanie Shackelford from any Position of Employment, Management or Control of any Investment Adviser, Broker-Dealer or Commodity Adviser</p> <p>November 2, 2020</p> | <p>Unlawful Investment Adviser Activity</p> <p>(Corporations Code Section 25232.1)</p> |
| <p>Queensway Corporation Queensway Capital Corporation Queensway Companies Que-Corp Jan Frank Tatman aka Jan Van Auben</p> <p>Woodland Hills, California</p> | <p>Desist and Refrain Order</p> <p>November 2, 2020</p> | <p>Unlawful Offer and Sale of Securities</p> <p>(Corporations Code Section 25110)</p> |
| <p>Nail Garden Franchise, LLC dba Trinity Peace, LLC</p> <p>Encino, California</p> | <p>Citation Including: (1) Desist and Refrain Order (2) Assessment of Administrative Penalties (3) Claim for Ancillary Relief and Costs</p> <p>November 3, 2020</p> | <p>Unlawful Franchise Investment Law Activity</p> <p>(Corporations Code Sections 31001, 31110, 31119(a), 31150, 31200, 31201, 31203, 31204 and 31406)</p> |

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|---|---|---|
| Doctor's Associates LLC dba Subway Milford, Connecticut | Consent Order November 4, 2020 | Unlawful Franchise Investment Law Activity (Corporations Code Sections 31402, 31406, 31110 and 31125) |
| M2 Investment Advisors, Inc. Michael Hugh Wong Fountain Valley, California | Statement in Support of Order Levying Administrative Penalties Desist and Refrain Order November 4, 2020 | Unlawful Investment Adviser Activity (Corporations Code Sections 25252 and 25241(a)and (c)) |
| Raymond & Sons Realty Capital Corporation Mark Williams Roseville, California | Desist and Refrain Order November 5, 2020 | Unlawful California Financing Law Activity (Financial Code Section 22100) |

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|---|--|--|
| Gifford Leon Tompkins, Jr. dba The Tides Group La Jolla, California | Consent Order November 6, 2020 | Unlawful Investment Adviser Activity (Corporations Code Section 25230) |
| JCG Investments, LLC Greg Mitchell Jeff Mitchell Granite Bay, California | Consent Order November 6, 2020 | Unlawful Investment Adviser Activity (Corporations Code Sections 25249, 25252, 25232(h) and 25232.1) |
| Maccio Financial, LLC Michelle Maccio Los Angeles, California | Desist and Refrain Order November 9, 2020 Accusation; and Claim for Ancillary Relief November 12, 2020 | Unlawful Investment Adviser Activity (Corporations Code Sections 25238 and title 10 § 260.238) |

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|--|---|---|
| Legacy Private Client Group, Inc. Kamas, Utah | Accusation in Support of Notice of Intention to Revoke Investment Adviser Certificate November 9, 2020 | Unlawful Investment Adviser Activity (Corporations Code Section 25232(h)) |
| Sean Zaringer aka Sean Zar aka Bejahn Zarrinnegar Performance Realty Management, LLC American Realty Partners, LLC Equity Pacesetter, LLC Equity Pacesetter II, LLC Equity Pacesetter III, LLC Phoenix, Arizona Scottsdale, Arizona | Desist and Refrain Order November 9, 2020 | Unlawful Offer and Sale of Securities (Corporations Code Section 25401) |
| Granny Moss Products Corp. Laurence Wainer Studio City, California | Desist and Refrain Order November 10, 2020 | Unlawful Offer and Sale of Securities (Corporations Code Sections 25110 and 25401) |

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| Allup Finance LLC Hackensack, New Jersey | Consent Order November 12, 2020 | Unlawful California Financing Law Activity (Financial Code Section 22712) |
| Priority Wealth Advisors, Inc. Joseph Donti Woodland Hills, California | Consent Order November 16, 2020 | Unlawful Investment Adviser Activity (Corporations Code Sections 25532(a) and (d), 25110, 25238 and title 10 § 260.238 and 260.236.1) |
| Orange Coast Winery, LLC now known as Winestead LLC Douglas Gary Wiens Murrieta, California | Consent Order November 16, 2020 | Unlawful Offer and Sale of Securities (Corporations Code Sections 25532 and 25401) |
| CIT Financial Services II, LLC New York, New York | Consent Order November 17, 2020 | Unlawful California Financing Law Activity (Financial Code Section 22107) |

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| Senior Real Estate Finance Account (N), L.P. New York, New York | Consent Order November 17, 2020 | Unlawful California Financing Law Activity (Financial Code Section 22107) |
| Saundra Stapp Rancho Cucamonga, California | Order Denying Mortgage Loan Originator License Application November 18, 2020 | Non-Issuance of Mortgage Loan Originator License (Financial Code Section 50141) |
| FieldNation, LLC FieldNation.com Minneapolis, Minnesota | Desist and Refrain Order November 18, 2020 | Unlawful Escrow Law Activity (Financial Code Section 17200) |
| American Heritage Capital, LP Dallas, Texas | Consent Order November 18, 2020 | Unlawful California Financing Law Activity (Financial Code Sections 22712 and 22301) |

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| Business Capital, LLC Hallandale, Florida | Consent Order November 18, 2020 | Unlawful California Financing Law Activity (Financial Code Sections 22159 and 22715(b)) |
| Golden Sunset Escrows, Inc. Glendora, California | Settlement Agreement November 20, 2020 | Unlawful Escrow Law Activity (Financial Code Sections 17603, 17210 and 17406) |
| FinanceServiceCorp.com www.financeservicecorp.com Phoenix, Arizona | Desist and Refrain Order November 20, 2020 | Unlawful California Financing Law Activity (Financial Code Sections 22100 and 22161) |
| 4D Capital, L.P. Aleksander Markovich Dvorkin San Diego, California | Consent Order November 20, 2020 | Unlawful Offer and Sale of Securities (Corporations Code Section 25532) |

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| Timothy Stewart Catellier Phoenix, Arizona | Statement of Issues November 23, 2020 | Mortgage Loan Originator License (Financial Code Sections 50513(a)(2) and 50141(a)(3)) |
| Jarod L. Dudley Fort Lauderdale, Florida | Statement of Issues November 30, 2020 | Mortgage Loan Originator License (Financial Code Sections 22712(a)(2) and 50513(a)(2)) |