

**SUMMARY OF ENFORCEMENT ACTIONS (ADMINISTRATIVE AND CIVIL)
BY THE CALIFORNIA DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
January 2022**

| SUBJECT | ACTION | VIOLATIONS & CHARGING SECTIONS |
|---|---|---|
| United Studios of Self Defense, Inc. Charles Anthony Mattera Irvine, California | Citations Including: (1) Desist and Refrain Order; (2) Assessment of Administrative Penalties; and (3) Claim for Ancillary Relief January 3, 2022 | Unlawful Franchise Investment Law Activity (Corporations Code Sections 31110, 31119, 31200, 31201 and 31408) |
| Novateur Capital, LLC Irvine, California | Order Granting Petition for Reinstatement January 3, 2022 | Unlawful California Financing Law Activity (Government Code Section 11522) |
| Mercury Technologies, Inc. San Francisco, California | Settlement Agreement January 3, 2022 | Unlawful Banks Law Activity (Financial Code Sections 561, 562 and 563) |

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| Gregory Allan Dawson aka Greg A. Dawson Scottsdale, Arizona | Order Denying Mortgage Loan Originator License January 4, 2022 | Non-Issuance of Mortgage Loan Originator License (Financial Code Sections 22109.1 and 50141) |
| M-Financial Group https://www.m-financialgroup.com Sacramento, California | Desist and Refrain Order January 5, 2022 | Unlawful California Financing Law Activity (Financial Code Sections 22100 and 22161) |
| Henry Anthony Amado, Jr. SBL Ventures, Inc. Berkeley, California Honolulu, Hawaii | Desist and Refrain Order January 5, 2022 | Unlawful Offer and Sale of Securities (Corporations Code Section 25401) |
| Fleet Logic, LLC Whittier, California | Notice of Petition for Reinstatement January 7, 2022 | Unlawful California Financing Law Activity (Government Code Section 11522) |

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| Fernished, Inc. dba Fernish Los Angeles, California | Consent Order January 10, 2022 | Unlawful California Consumer Financial Protection Law Activity (Financial Code Sections 90015(d)(1), 90003(a)(1) and 90003(a)(2)) |
| Builders Disbursements, Inc. Glendale, California | Order Granting Receiver's Motion to Establish Claims Procedure and Bar Date for Filing Claims January 11, 2022 | Unlawful Escrow Law Activity (Financial Code Sections 17210, 17406, 17408 and 17602.5) |
| Vision Financial Group Inc. Pittsburgh, Pennsylvania | Order Conditionally Granting Petition for Reinstatement January 14, 2022 Order Granting Petition for Reinstatement January 19, 2022 | Unlawful California Financing Law Activity (Government Code Section 11522) |

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| EDVISIO, Inc. San Diego, California | Consent Order January 14, 2022 | Unlawful California Consumer Financial Protection Law Activity (Financial Code Sections 90015(d)(1) and 90003(a)(1)) |
| Danny Yen dba Real Estate Educational Services Corona Del Mar, California | Citation and Desist and Refrain Order January 14, 2022 | Mortgage Loan Originator License (Financial Code Sections 22109.2, 22109.5 and 22712(a)) |
| Trycera Financial, Inc. Raymond Allen Smith Newport Beach, California | Complaint for Preliminary and Permanent Injunction; Civil Penalties; and Ancillary Relief January 18, 2022 | Unlawful Offer and Sale of Securities (Corporations Code Sections 25110 and 25401) |
| Providence Escrow, Inc. Los Angeles, California | Order Terminating Conservatorship January 19, 2022 | Unlawful Escrow Law Activity (Financial Code Section 17630) |

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| RD Legal Funding, LLC Cresskill, New Jersey | Order Revoking California Financing Law License January 19, 2022 | Unlawful California Financing Law Activity (Financial Code Section 22714) |
| Infinity Capital Funding, LLC Woodland Hills, California | Desist and Refrain Order January 21, 2022 | Unlawful California Financing Law Activity (Financial Code Section 22712) |
| Arete Capital Advisors Inc. Winchester, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Durig Capital, Inc. Tigard, Oregon | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |

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| R.L. Paler Investment Advisors, LLC Dana Point, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Cornerstone Capital Systems, Inc. Richmond, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Grow Financial, LLC Richmond, Virginia | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Norman W. Berger, Inc. Menlo Park, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |

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| Fundamental Capital Management LLC Pasadena, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Mazakali LLC San Francisco, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Drax Management, LLC San Francisco, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Numu Capital LLC Menlo Park, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |

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| Synergie Capital Management San Diego, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Avalon Capital Advisors LLC Irvine, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Associated Assets, Inc. Torrance, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| GTA Advisors Clovis, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |

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| Ferdman Seymour Charles Rancho Palos Verdes, California | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Alternative Access Capital, LLC White Plains, New York | Order Summarily Revoking Certificate January 21, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |
| Veritana Financial Planning, Inc. Valley Village, California | Order Summarily Revoking Certificate January 21, 2022 Order Setting Aside Order Summarily Revoking Certificate January 31, 2022 | Unlawful Investment Adviser Activity (Corporations Code Sections 25242(c)(1) and 25608(q)(1)) |

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| Jackie Alexander Graves Long Beach, California | Settlement Agreement January 23, 2022 | Mortgage Loan Originator License (Financial Code Sections 22109.1, 50141, 50513 and 22712) |
| Chicago Mortgage Solutions, LLC fka Chicago Mortgage Solutions Corporation Rosemont, Illinois | Notice of Petition for Reinstatement January 24, 2022 | Unlawful California Residential Mortgage Lending Activity (Government Code Section 11522) |
| Kuber Capital Management, LLC Johns Creek, Georgia | Consent Order January 25, 2022 | Unlawful Investment Adviser Activity (Corporations Code Section 25249) |
| Joshua David Baratta Chandler, Arizona | Accusation in Support of Order Revoking Mortgage Loan Originator License of Joshua David Baratta January 27, 2022 | Mortgage Loan Originator License (Financial Code Section 50513) |

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| Julio Granda Chandler, Arizona | Accusation January 31, 2022 | Mortgage Loan Originator License (Financial Code Sections 22109.1(a)(3), 50141(a)(3), CCR § 1422.6.2(a)(c)(1) and (2) and 1950.122.5.2(a)(c)(1) and (2)) |
| Aasim Mohammed Saied Akymen Industries Corp. Akyumen Technologies Corp. Akyumen Corp. Akyumen Los Angeles, California | Statement in Support of Order for Ancillary Relief Desist and Refrain Order January 31, 2022 | Unlawful Offer and Sale of Securities (Corporations Code Section 25401) |