

**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)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
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)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
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))

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
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)