

1 CLOTHILDE V. HEWLETT  
Commissioner  
2 MARY ANN SMITH  
Deputy Commissioner  
3 JOANNE ROSS (State Bar No. 202338)  
Senior Counsel  
4 VANESSA LU (State Bar No. 295217)  
Senior Counsel  
5 TAYLOR HERRLINGER (State Bar No. 314791)  
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11 Attorneys for Complainant

12  
13 BEFORE THE DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION  
14 OF THE STATE OF CALIFORNIA

15 In the Matter of:

CRD NO.: 129511

16 THE COMMISSIONER OF FINANCIAL  
17 PROTECTION AND INNOVATION,

ORDER TO DISCONTINUE VIOLATIONS  
PURSUANT TO CORPORATIONS CODE  
SECTION 25249

18 Complainant,

19 v.

20 RTJ FINANCIAL MANAGEMENT, INC.,  
21

22 Respondent.

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24 TO: RTJ FINANCIAL MANAGEMENT, INC.  
ROBERT JUPILLE  
25 249 SPRUCE DRIVE  
26 GOLETA, CA 93117

27 Clothilde V. Hewlett, Commissioner of Financial Protection and Innovation (Commissioner)  
28 finds that Investment Adviser, RTJ FINANCIAL MANAGEMENT, INC. (RTJ FINANCIAL

1 MANAGEMENT, INC.), violated the following sections of the Corporate Securities Law of 1968  
2 (Corp. Code, § 25000 et seq.) and the regulations promulgated under California Codes of  
3 Regulations (Cal. Code of Regs., tit. 10, § 260.000 et seq.)

4 Pursuant to Corporations Code section 25241 and Cal. Code of Regs., tit. 10, section 260.241.4,  
5 subdivision (e), RTJ FINANCIAL MANAGEMENT, INC., is a licensed investment adviser required  
6 to file an annual updating amendment, in accordance with the instructions in Form ADV, with  
7 Investment Adviser Registration Depository (IARD) in accordance with its procedures for transmission  
8 to the Commissioner within ninety (90) days of the end of the investment adviser’s fiscal year.

9 RTJ FINANCIAL MANAGEMENT, INC. is in violation of Corporations Code section 25241  
10 and Cal. Code of Regs., tit. 10, section 260.241.4, subdivision (e).

11 NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby  
12 ORDERED, pursuant to Corporations Code section 25249, that RTJ FINANCIAL  
13 MANAGEMENT, INC. discontinue violations of Corporations Code section 25241 and Cal. Code  
14 of Regs., tit.10, section 260.241.4, subdivision (e).

15 The Commissioner finds this action is appropriate, in the public interest, for the protection of  
16 investors, and consistent with the purposes fairly intended by the policies and procedures of the  
17 Corporate Securities Law of 1968.

18 Dated: September 8, 2022

CLOTHILDE V. HEWLETT  
Commissioner of Financial Protection and Innovation



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21 By: \_\_\_\_\_  
22 BALBIRO KAZLA  
23 Deputy Commissioner  
24 Broker-Dealer Investment Adviser Division  
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