

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)  
Counsel  
6 Department of Financial Protection and Innovation  
7 2101 Arena Boulevard  
8 Sacramento, California 95834  
9 Telephone: (916) 936-7908  
10 Facsimile: (916) 928-7929

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.: 281819

16 THE COMMISSIONER OF FINANCIAL  
17 PROTECTION AND INNOVATION,

ORDER TO DISCONTINUE VIOLATIONS  
PURSUANT TO CORPORATIONS CODE  
SECTION 25249

18 Complainant,

19 v.

20 MAGISTER CAPITAL MANAGEMENT,  
21 LLC,

22 Respondent.

23  
24 TO: MAGISTER CAPITAL MANAGEMENT, LLC  
CARLOS R. ZAPATA  
25 111 DEERWOOD RD., SUITE 200  
26 SAN RAMON, CA 94583

27 Clothilde V. Hewlett, Commissioner of Financial Protection and Innovation (Commissioner)  
28 finds that Investment Adviser, MAGISTER CAPITAL MANAGEMENT, LLC (MAGISTER

1 CAPITAL MANAGEMENT, LLC), violated the following sections of the Corporate Securities Law  
2 of 1968 (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), MAGISTER CAPITAL MANAGEMENT, LLC, is a licensed investment adviser  
6 required 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 MAGISTER CAPITAL MANAGEMENT, LLC is in violation of Corporations Code section  
10 25241 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 MAGISTER CAPITAL  
13 MANAGEMENT, LLC discontinue violations of Corporations Code section 25241 and Cal. Code of  
14 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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