

1 CLOTHILDE V. HEWLETT
Commissioner
2 MARY ANN SMITH
Deputy Commissioner
3 JOANNE ROSS (State Bar No. 202338)
Senior Counsel
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Senior Counsel
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11 Attorneys for Complainant

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

15 In the Matter of:

CRD NO.: 311133

16 THE COMMISSIONER OF FINANCIAL
17 PROTECTION AND INNOVATION,

ORDER TO DISCONTINUE VIOLATIONS
PURSUANT TO CORPORATIONS CODE
SECTION 25249

18 Complainant,

19 v.

20 MAXWELL INVESTMENT ADVISORY
21 AND WEALTH MANAGEMENT LLC,

22 Respondent.
23

24 TO: MAXWELL INVESTMENT ADVISORY AND WEALTH MANAGEMENT LLC
25 SHAWN MAXWELL
26 3501 MALL VIEW RD STE 115-390
27 BAKERSFIELD, CA 93306
28

1 Clothilde V. Hewlett, Commissioner of Financial Protection and Innovation (Commissioner)
2 finds that Investment Adviser, MAXWELL INVESTMENT ADVISORY AND WEALTH
3 MANAGEMENT LLC (MAXWELL INVESTMENT ADVISORY AND WEALTH
4 MANAGEMENT LLC), violated the following sections of the Corporate Securities Law of 1968
5 (Corp. Code, § 25000 et seq.) and the regulations promulgated under California Codes of
6 Regulations (Cal. Code of Regs., tit. 10, § 260.000 et seq.)

7 Pursuant to Corporations Code section 25241 and Cal. Code of Regs., tit. 10, section 260.241.4,
8 subdivision (e), MAXWELL INVESTMENT ADVISORY AND WEALTH MANAGEMENT LLC,
9 is a licensed investment adviser required to file an annual updating amendment, in accordance with the
10 instructions in Form ADV, with Investment Adviser Registration Depository (IARD) in accordance
11 with its procedures for transmission to the Commissioner within ninety (90) days of the end of the
12 investment adviser’s fiscal year.

13 MAXWELL INVESTMENT ADVISORY AND WEALTH MANAGEMENT LLC is in
14 violation of Corporations Code section 25241 and Cal. Code of Regs., tit. 10, section 260.241.4,
15 subdivision (e).

16 NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby
17 ORDERED, pursuant to Corporations Code section 25249, that MAXWELL INVESTMENT
18 ADVISORY AND WEALTH MANAGEMENT LLC discontinue violations of Corporations Code
19 section 25241 and Cal. Code of Regs., tit.10, section 260.241.4, subdivision (e).

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

23 Dated: September 8, 2022

CLOTHILDE V. HEWLETT
Commissioner of Financial Protection and Innovation



24 By: _____
25 BALBIRO KAZLA
26 Deputy Commissioner
27 Broker-Dealer Investment Adviser Division
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