

1 CLOTHILDE V. HEWLETT
Commissioner
2 MARY ANN SMITH
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12
13 BEFORE THE DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
14 OF THE STATE OF CALIFORNIA

15 In the Matter of:

CRD NO.: 174450

16 THE COMMISSIONER OF FINANCIAL
17 PROTECTION AND INNOVATION,

ORDER TO DISCONTINUE VIOLATIONS
PURSUANT TO CORPORATIONS CODE
SECTION 25249

18 Complainant,

19 v.

20 NOE PADILLA DBA OPTIMIZO
21 INVESTMENT STRATEGIES,

22 Respondent.
23

24 TO: PADILLA, NOE
25 NOE PADILLA
26 4640 SUMMERHAYS PL
SANTA ROSA, CA 95405

27 Clothilde V. Hewlett, Commissioner of Financial Protection and Innovation (Commissioner)

28 finds that Investment Adviser, NOE PADILLA DBA OPTIMIZO INVESTMENT STRATEGIES

1 (NP), violated the following sections of the Corporate Securities Law of 1968 (Corp. Code, § 25000
2 et seq.) and the regulations promulgated under California Codes of Regulations (Cal. Code of Regs.,
3 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), NP, is a licensed investment adviser required to file an annual updating amendment, in
6 accordance with the instructions in Form ADV, with Investment Adviser Registration Depository
7 (IARD) in accordance with its procedures for transmission to the Commissioner within ninety (90) days
8 of the end of the investment adviser’s fiscal year.

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

11 NOW, BASED UPON THE FOREGOING, AND GOOD CAUSE APPEARING, it is hereby
12 ORDERED, pursuant to Corporations Code section 25249, that NOE PADILLA DBA OPTIMIZO
13 INVESTMENT STRATEGIES discontinue violations of Corporations Code section 25241 and Cal.
14 Code 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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