

SUMMARY OF ENFORCEMENT ACTIONS (ADMINISTRATIVE AND CIVIL)
BY THE CALIFORNIA DEPARTMENT OF FINANCIAL PROTECTION AND INNOVATION
March 2023

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Leyton Law Firm Leyton Law Firm, LLC	Desist and Refrain Order and Order Assessing Penalties March 2, 2023	Unlawful Debt Collection Licensing Act and California Consumer Financial Protection Law Activity (Financial Code Section 90015(b), (c) and (d)(1))
LSG & Partners, LLC	Desist and Refrain Order and Order Assessing Penalties March 2, 2023	Unlawful Debt Collection Licensing Act and California Consumer Financial Protection Law Activity (Financial Code Section 90015(b), (c) and (d)(1))

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Blackwater Legal Group	Desist and Refrain Order and Order Assessing Penalties March 2, 2023	Unlawful Debt Collection Licensing Act and California Consumer Financial Protection Law Activity (Financial Code Section 90015(b), (c) and (d)(1))
Horowitz, Cohen & Associates Ryan Eubanks	Desist and Refrain Order and Order Assessing Penalties March 2, 2023	Unlawful Debt Collection Licensing Act and California Consumer Financial Protection Law Activity (Financial Code Section 90015(b), (c) and (d)(1))
Natixis Coficine Paris, France	Consent Order March 2, 2023	Unlawful California Financing Law Activity (Financial Code Section 22714)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
K2 Clean Energy Capital, LLC Campbell, California	Order Revoking License March 10, 2023	Unlawful California Financing Law Activity (Financial Code Section 22714)
Keswick Financial Group, Inc. Long Beach, California	Consent Order March 10, 2023	Unlawful California Financing Law Activity (Financial Code Section 22714)
NES Group LLC dba Capital Liberty Irvine, California	Consent Order March 10, 2023	Unlawful Student Loan Servicing Act Activity (Financial Code Sections 28160, 28102(a), 90015(d), 90003(a)(1) and 90012(b)(2))
Ocwen Loan Servicing, LLC Mount Laurel, New Jersey	Order Withdrawing Notice of Intention to Issue Order Revoking California Residential Mortgage Lending and/or Servicing License and Accusation March 10, 2023	Unlawful California Residential Mortgage Lending Activity (Financial Code Section 50321)

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TRAKKXPAY, LLC Encinitas, California	Consent Order March 13, 2023 Consent Order March 17, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22712, 22107 and 22714)
Fairview Partners Investment Management LLC Seattle, Washington	Consent Order March 13, 2023	Unlawful California Financing Law Activity (Financial Code Section 22714)
Lending Tower LLC Newport Beach, California	Consent Order March 14, 2023	Unlawful California Financing Law Activity (Financial Code Section 22714)
Kevin Christopher Logan dba The Logan Group Securities Roseville, California	Consent Order March 14, 2023	Unlawful Investment Adviser Activity (Corporations Code Section 25241)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Alexandra Lorraine Smith Diamond Bar, California	Accusation to Bar Alexandra Lorraine Smith from any Position of Employment, Management, or Control of any Escrow Agent March 15, 2023	Unlawful Escrow Law Activity (Financial Code Section 17423)
James Francis Matthews Hollister, California	Accusation March 17, 2023	Unlawful California Deferred Deposit Law Activity (Financial Code Section 23052)
Curve Capital LLC Kevin Joseph Martin Irvine, California	Statement in Support of Order: 1. To Discontinue Violations and Commissioner's Intention to Make Order Final 2. Levying Penalties Order to Discontinue Violations March 22, 2023	Unlawful Investment Adviser Activity (Corporations Code Sections 25249 and 25252)

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Laurie Buchanan Sun City, California	Amended Accusation to Bar Laurie Buchanan from any Position of Employment, Management, or Control of any Escrow Agent March 23, 2023	Unlawful Escrow Law Activity (Financial Code Section 17423)
DFG Trust dfgtrust.com mbdsgrk.top	Desist and Refrain Order March 23, 2023	Unlawful California Consumer Financial Protection Law Activity (Financial Code Section 90003)
Donut, Inc. dba Donut App, Inc. Neel Popat Los Angeles, California	Desist and Refrain Order March 23, 2023	Unlawful Offer and Sale of Securities (Corporations Code Section 25110)
Retire Happy, LLC Julie A. Minuskin Joshua P. Stoll Las Vegas, Nevada	Desist and Refrain Order March 24, 2023	Unlawful Investment Adviser Activity (Corporations Code Sections 25210, 25230 and 25401)

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BlockFi Lending LLC Jersey City, New Jersey	Stipulation to: (1) Interim Suspension of California Financing Law License; (2) Order to Discontinue Unsafe or Injurious Practices; and (3) Desist and Refrain Order March 27, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22712(a), 22161(a)(5), 22712(b) and 22714)
Susana Yadira Ocampo Fontana, California	Order Summarily Revoking License Pursuant to Consent Order March 27, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22150 and 22714)
Randall E. Hudgens dba Stock Option Academy Stock Option Coach Santa Barbara, California	Desist and Refrain Order; and Notice of Intent to Issue Order Levying Administrative Penalties March 29, 2023	Unlawful Investment Adviser Activity (Corporations Code Sections 25532 and 25252)

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Castano Holdings LLC Mesa, Arizona	Notice of Intention to Issue Order Revoking California Financing Law License Desist and Refrain Order March 7, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22714 and 22712)
James K. Chu Upland, California	Notice of Intention to Issue Order Revoking California Financing Law License Desist and Refrain Order Order Withdrawing Notice of Intention to Issue Order Revoking California Financing Law License March 7, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22714 and 22712)

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Lending Arena LLC Las Vegas, Nevada	Notice of Intention to Issue Order Revoking California Financing Law License Desist and Refrain Order March 7, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22714 and 22712)
Lending7 Fund, LLC Diamond Bar, California	Notice of Intention to Issue Order Revoking California Financing Law License Desist and Refrain Order March 7, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22714 and 22712)
RCD Capital LLC Artesia, California	Notice of Intention to Issue Order Revoking California Financing Law License Desist and Refrain Order March 7, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22714 and 22712)

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Prometheus Mortgage, L.L.C. North Salt Lake, Utah	Notice of Intention to Issue Order Revoking California Financing Law License Desist and Refrain Order Order Withdrawing Notice of Intention to Issue Order Revoking California Financing Law License March 7, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22714 and 22712)
Today Lending LLC Tulsa, Oklahoma	Notice of Intention to Issue Order Revoking California Financing Law License Desist and Refrain Order March 7, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22714 and 22712)
Barbara Lee McManus Mahwah, New Jersey	Consent Order Granting Conditional License March 8, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22712(a)-(b) and 50513(a)(1)-(2))

SUBJECT	ACTION	VIOLATIONS & CHARGING SECTIONS
Alphaflow Advisor, LLC San Francisco, California	Order Summarily Revoking Certificate March 15, 2023	Unlawful Investment Adviser Activity (Corporations Code Section 25242(c)(1))
Andrew David Jones Springfield, Missouri	Consent Order Granting Conditional License March 23, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22712(a)-(b) and 50513(a)(1)-(2))
Alfredo Ochoa Irvine, California	Consent Order Granting Conditional License March 23, 2023	Unlawful California Financing Law Activity (Financial Code Sections 22712(a)-(b) and 50513(a)(1)-(2))