



For Immediate Release

March 5, 2019

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**Ohio Division of Securities
Issues Summary of Division Orders and Enforcement Actions
Feb. 1–28, 2019**

The following administrative orders and enforcement actions represent official action taken by the Ohio Division of Securities from Feb. 1-28, 2019.

Orders are issued as either a Notice of Opportunity for Hearing (NOH) or as a final order. The NOH details allegations by the Division for violations of the Ohio Securities Act and gives a respondent notice of the right to an administrative hearing. NOHs are public records, but do not represent the final determination in a pending matter.

Final orders contain findings by the Division and represent the final disposition of a matter pending before the Division. All final orders of the Division contain appeal rights to common pleas courts within a specific time.

Details of any Division order can be found at:

https://www.comapps.ohio.gov/secu/secu_apps/FinalOrders/

Division Orders

Order No. 19-008

Feb. 7, 2019

Daniel L. Yoho, CRD No. 1353988

D.L. Yoho Investment Advisors, LLC, CRD No. 285214

Uniontown, Ohio

- Final Order to Revoke Investment Adviser and Investment Adviser Representative Licenses

Order No. 19-009

Feb. 27, 2019

Roger C. Faubel, CRD No. 1233851

Faubel Financial Group

Boardman, Ohio

- Notice of Opportunity for Hearing
- Notice of Intent to Issue Cease and Desist Order

Order No. 19-010

Feb. 27, 2019

Sullivan Seton Murphy Law, LLC, aka Sullivan Seton Murphy Law Firm

Cincinnati, Ohio

- Cease and Desist Order

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Enforcement Actions

Robert White

On Feb. 6, 2019, Robert White, 72, was arraigned on six counts of securities fraud, six counts of misrepresentation in the sale of securities, and 12 counts of money laundering, all third-degree felonies. White was also charged with engaging in a pattern of corrupt activity, a first-degree felony.

White pleaded not guilty to each charge and was released on a \$300,000 recognizance bond. A pre-trial hearing took place Feb. 19.

The indictment, issued on Feb. 5, 2019, stems from a criminal referral after an investigation by the Ohio Division of Securities and the Union Township Police Department.

The indictment alleges White solicited his tax accounting firm clients and others to invest in Platinum Franchising, LLC, a new tax franchise business, based on promises of significant returns. White allegedly converted those investments to his own personal use, used them to pay back prior investors, and used them to pay for ongoing expenses of his existing business, Robert L. White and Associates, Inc., located in Cincinnati. The offering was not registered with the Division for sale in Ohio. White's CPA license was revoked in 2015.

Anyone who believes they may be a victim in this case can call the Division's Investor Protection Hotline at 1-877-683-7841.

This case is being prosecuted by the Office of the Clermont County Prosecutor D. Vincent Faris and presented by Assistant Prosecuting Attorney Darren Miller.

Before investing, the Division of Securities encourages potential investors to call the Division's Investor Protection Hotline at 1-877-683-7841 to ask:

- Is the brokerage firm and salesperson licensed to sell securities in Ohio?
- Have any enforcement actions been taken against them?
- Has the security been properly registered with the Division of Securities?

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