



For Immediate Release

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**Ohio Division of Securities
Issues Summary of Division Orders and Enforcement Actions
Aug. 1–31, 2019**

(COLUMBUS, Ohio) — The following administrative orders represent official action taken by the Ohio Division of Securities from Aug. 1-31, 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 the 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. 19-017

Aug. 20, 2019

- Porter Financial Planning, CRD No. 150853

- Mickey Darin Porter, CRD No. 5109370

Ottawa Hills, Ohio

- Notice of Opportunity for Hearing
- Notice of Intent to Suspend or Revoke Ohio Investment Adviser License No. 150853 and Ohio Investment Adviser Representative License No. 5109370

Order No. 19-018

Aug. 20, 2019

- Christopher T. Wendel, CRD No. 1930870

Celina, Ohio

- Cease-and-Desist Order
- Consent Agreement

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Order No. 19-019

Aug. 23, 2019

- Component Sourcing Group, Inc.
- Patricia Tzannakos
Laguna Hills, California

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

Order No. 19-020

Aug. 23, 2019

- Alan Kneller, CRD No. 7018362
Boca Raton, Florida
- Capital Asset Management Partners, Inc.
Boca Raton, Florida
- Anthony Pugliese IV
Delray Beach, Florida
- Envoyag, LLC
Delray Beach, Florida

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

Order No. 19-021

August 27, 2019

- Conscious Life Planning, CRD No. 282758
- Christopher Scott McLaren, CRD No. 2392869
Cincinnati, Ohio

- Notice of Opportunity for Hearing
- Notice of Intent to Suspend or Revoke Ohio Investment Adviser License No. 282758 and Ohio Investment Adviser Representative License No. 2392869

Enforcement Actions

Paul Kratochvill

On July 29, 2019, Paul Kratochvill, 39, of Meadville, Pennsylvania, was sentenced by Judge Vincent Culotta in the Lake County Court of Common Pleas to five years in prison and ordered to pay \$174,000 to his victims. The sentence comes after Kratochvill was convicted, after a jury trial that ended June 27, of two counts of securing writings by deception, both second-degree felonies.

Kratochvill was indicted by a Lake County grand jury Oct. 26, 2018, after an investigation by the Ohio Department of Commerce's Division of Securities, the Ohio Attorney General's Office of Criminal Investigation, and the Eastlake Police Department.

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The indictment alleged Kratochvill solicited three individuals to invest \$318,000 with him in the financial markets in return for monthly annuitized payments to the investors. The indictment further alleged Kratochvill did not purchase annuities on behalf of the investors. Instead, he invested their money in high-risk, exchange-traded funds, causing them to lose a substantial amount of their investment. Kratochvill was never licensed as a securities dealer, salesperson, or investment adviser representative in Ohio.

This case was prosecuted by the Office of the Lake County Prosecutor Charles E. Coulson, and presented by Lisa Neroda and Nick Giegerich, assistant prosecuting attorneys.

Jerry Fuqua

On July 30, 2019, following a criminal referral by the Ohio Department of Commerce's Division of Securities, Jerry Fuqua, 78, was indicted by a Hamilton County grand jury for crimes related to the theft of \$20,000 from an Ohio investor between July 1, 2014 and July 30, 2019.

Fuqua was indicted for one count of theft from the elderly and one count of securing writings by deception, both third-degree felonies. The indictment alleges Fuqua solicited \$20,000 from an elderly Ohio investor for fictitious stock certificates issued by Fuqua Corporation, which was shut down by the Ohio Department of Taxation in 2009 for failure to pay corporate franchise tax.

Fuqua is currently incarcerated in the Boone County Kentucky Work Camp on a prior conviction for two counts of theft by deception.

This case is being prosecuted by the Office of Hamilton County Prosecutor Joseph T. Deters.

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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