



For Immediate Release

Oct. 3, 2019

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**Ohio Division of Securities
Issues Summary of Division Orders and Enforcement Actions
Sept. 1–30, 2019**

(COLUMBUS, Ohio) — The following administrative orders represent official action taken by the Ohio Division of Securities from Sept. 1-30, 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. 19-022

Sept. 6, 2019

Steven Arthur Svetlick, CRD No. 2589535

Grove City, Ohio

- Notice of Opportunity for Hearing
- Notice of Intent to Suspend or Revoke Ohio Investment Adviser Representative License of Steven Arthur Svetlick
- Notice of Intent to Issue Cease and Desist Order

Order No. 19-023

Sept. 9, 2019

- Prestige Financial Group, LLC, CRD No. 292438

- Zachary Wayne Beavers, CRD No. 6601292

Dublin, Ohio

- Notice of Opportunity for Hearing
- Notice of Intent to Suspend or Revoke Ohio Investment Adviser License No. 292438 and Ohio Investment Adviser Representative License No. 6601292

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Order No. 19-024

Sept. 9, 2019

- Daniel J. Rossi, CRD No. 1190774
- FEIC Financial, Inc., CRD No. 25545
- Business Equity Advisors, Inc. f/k/a FEIC Business Equity Solutions, Inc.
Youngstown, Ohio

- Notice of Opportunity for Hearing
- Notice of Intent to Suspend or Revoke Ohio Investment Adviser Representative License of Daniel J. Rossi
- Notice of Intent to Suspend or Revoke Ohio Investment Adviser License of FEIC Financial, Inc.
- Notice of Intent to Issue Cease and Desist Order

Order No. 19-025

Sept. 12, 2019

Michael J. Iannarino, CRD No. 1258453
Columbus, Ohio

- Cease and Desist Order
- Consent Agreement

Order No. 19-026

Sept. 17, 2019

- Greymountain Management Ltd.
- Glenridge Capital
Dublin, Ireland

- Cease and Desist Order

Order No. 19-027

Sept. 27, 2019

Stable Asset Fund I Ltd. aka Stable Asset Fund, L.L.C.
Westerville, Ohio
Dublin, Ohio

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

Order No. 19-028

Sept. 17, 2019

Andrew Todd Roseberry, CRD No. 2589166
Dublin, Ohio

- Notice of Opportunity for Hearing
- Notice of Intent to Suspend or Revoke Ohio Investment Adviser Representative License of Andrew Todd Roseberry
- Notice of Intent to Issue Cease and Desist Order

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Order No. 19-029

Sept. 17, 2019

Consolidated Financial Management Group, LLC, CRD No. 119695

Dublin, Ohio

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

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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