



For Immediate Release

Nov. 4, 2019

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

(COLUMBUS, Ohio) — The following administrative orders represent official action taken by the Ohio Division of Securities from Oct. 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. 19-030

Oct. 16, 2019

Alan Kneller, CRD No. 7018362
Capital Asset Management Partners
Boca Raton, Florida

Anthony Pugliese IV
Envoyag, LLC
Delray Beach, Florida

- Cease and Desist Order

Order No. 19-031

Oct. 16, 2019

Harvard Options
Columbus, Ohio
Croydon, UK

- Cease and Desist Order

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Order No. 19-032**Oct. 24, 2019**

Jeffrey Allan Mohlman, CRD No. 4431845
Dayton, Ohio

- Final Order to Cease and Desist

Order No. 19-033**Oct. 24, 2019**

Raymond A. Erker
Sageguard Wealth Management, Inc.
Westlake, Ohio

- Final Order to Revoke Ohio Investment Adviser Representative License of Raymond A. Erker (CRD# 2166800) and Investment Adviser License of Sageguard Wealth Management, Inc. (CRD# 158748)

Order No. 19-034**Oct. 24, 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

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

For details of any Division Order, you can search our online database at:

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

Enforcement Actions

Jerry Fuqua

On Oct. 9, 2019, Jerry Fuqua, 76, pleaded guilty to one count of theft from the elderly and one count of securing writings by deception, both third-degree felonies, during a hearing in the Hamilton County Court of Common Pleas. Sentencing is scheduled for Nov. 7. Fuqua faces up to 72 months in prison and a \$20,000 fine.

Following a criminal referral by the Ohio Department of Commerce's Division of Securities, Fuqua was indicted July 30 by a Hamilton County grand jury. The indictment alleged he 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.

This case was prosecuted by the office of Hamilton County Prosecutor Joseph T. Deters.

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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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