

**DEPARTMENT OF LICENSING AND REGULATORY AFFAIRS
CORPORATIONS, SECURITIES & COMMERCIAL LICENSING BUREAU
DISCIPLINARY ACTION REPORT**

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Information reported in this Disciplinary Action Report [DAR] results from an Order of a Licensing Board or other appropriate issuing authority. Orders, including Final Orders, are subject to rescission, modification, or other actions subsequent to the issuance of a DAR. These actions will be reported in the subsequent DAR when issued.

	LICENSEE	EFFECTIVE DATE	ACTION TAKEN	REASON
	May 2021			
	INVESTMENT/SECURITIES			
WILMINGTON, DE	CHARLES WINN, LLC Unregistered Complaint No. 343392	5/24/2021	<ol style="list-style-type: none"> 1. Fine \$ 20,000 2. Cease and Desist from offering or selling unregistered securities, contrary to the Securities Act. 	Violation of Securities Act and/or Rule Violation