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

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
	February 2021			
	INVESTMENT/SECURITIES			
GRAND RAPIDS	DAVID AUSTIN CRD# 6702519 Complaint No. 342912	2/3/2021	1. Fine $ 500 2. Registration REVOKED	Violation of Securities Act and/or Rule Violation
EDEN PRAIRIE, MN / MINNETONKA, MN	PHILIP WRIGHT CRD# 2453688 Complaint No. 342743 and BROKERBANK SECURITIES, INC. CRD/IARD# 130116 Complaint No. 342742	2/3/2021	1. Fine $2,500 (Jointly and Severally) 2. Other Documentation 3. Registrations REVOKED	Violation of Securities Act and/or Rule Violation
	TRANSPORTATION			
STERLING HEIGHTS	MACOMB & OAKLAND COUNTY AIRPORT LOCAL TAXI SERVICE RAYMOND YONO, OWNER Unregistered Complaint No. 342234	2/17/2021	1. Fine $345.85 2. Other Documentation	Violation of Limousine, Taxicab and Transportation Network Company Act
	PREPAID FUNERAL AND CEMETERY SALES			
SAULT SAINT MARIE	O'NEILL VENTURES, INC. Prepaid Funeral and Cemetery Sales Registration No. 34-01-000781	2/10/21	1. Fine $10,000/ $20,000 2. Other	Violation of Prepaid Funeral and Cemetery Sales

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	Complaint Nos. 341022 & 341597		3. Documentation Registration REVOKED	Act/or Rule Violation