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
	May 2021			
	INVESTMENT/SECURITIES			
WILMINGTON, DE	CHARLES WINN, LLC Unregistered Complaint No. 343392	5/24/2021	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