

**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.

CITY	LICENSEE	EFFECTIVE DATE	ACTION TAKEN	REASON
	FEBRUARY 2023			
	INVESTMENTS AND SECURITIES			
GRAND CAYMAN, CAYMAN ISLANDS	NEXO CAPITAL, INC. Unregistered ENF-23-020015	2/17/2023	Fine \$424,528.30	Violation of Securities Act and/or Rule Violation
	PREPAID FUNERAL AND CEMETERY SALES			
HOLLY	DRYER FUNERAL HOME, INC. Prepaid Funeral Provider Registration No. 3401000821 ENF-22-020149	2/28/2023	Fine \$500.00	Violation of Prepaid Funeral and Cemetery Sales Act and/or Rule Violation