

**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
	<b>INVESTMENTS AND SECURITIES</b>			
	DEFIEO.CO Unregistered ENF-24-020042	5/10/2024	1. \$20,000 Fine	Violation of Securities Act and/or Rule Violation