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NEW HAMPSHIRE
DEPARTMENT OF STATE

**STATE OF NEW HAMPSHIRE
DEPARTMENT OF STATE
BUREAU OF SECURITIES REGULATION
CONCORD, NEW HAMPSHIRE**

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IN THE MATTER OF:)	
)	
Four Points Capital Partners, LLC)	I-2021000007
)	
RESPONDENT)	
)	
)	
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CONSENT ORDER

I. For purposes of settling the above-referenced matter and in lieu of further administrative proceedings, Four Points Capital Partners, LLC (hereinafter referred to as “Four Points”), has submitted an offer of settlement, which the Bureau of Securities Regulation, Department of State, State of New Hampshire (hereinafter referred to as “the Bureau”) has determined to accept. Accordingly, Four Points, without admitting or denying the allegations or findings contained herein, does hereby consent to the entry of this Order and the following undertakings and sanctions:

The Facts

1. On March 1, 2020, Four Points was required to submit audited financial statements to the Bureau pursuant to New Hampshire RSA 421-B:4-411(b).
2. The Bureau sent letters reminding Four Points it needed to submit audited financial statements to the Bureau on February 1, 2020.
3. After Four Points failed to timely submit the required audited financial statements, the Bureau followed suit with two additional letters reminding Four Points its audited financial statements were past due on March 13, 2020, April 17, 2020, and July 9, 2020.
4. Further, the Bureau sent emails to Four Points’ primary point of contact, Michael Martino, regarding the late audited financial statements on October 15, 2020 and December 30, 2020.
5. Four Points is 330 days delinquent in its required submission of its yearly audited financial statements.

The Law

1. Pursuant to New Hampshire RSA 421-B:4-411(b)(1), [e]very broker-dealer or agent doing business in this state unless otherwise directed shall, within 60 days after the close of its fiscal year, make and transmit to the secretary of state a filing under oath of its chief managing officer showing or providing the financial statement, changes in management, changes in ownership, and any significant changes in the method of doing business for the preceding fiscal year. Additionally, [e]very broker-dealer shall include audited financial statements certified by an independent certified public accountant consisting of a balance sheet, income statement, statement of cash flows, a reconciliation of surplus and appropriate notes prepared in accordance with generally accepted accounting principles. Respondent Four Points is subject to this provision.
 2. Pursuant to New Hampshire RSA 421-B:4-411(b)(2), [a] broker dealer failing to file its annual statement as required by subsection (b)(1) shall forfeit to the state \$25 for each day of delinquency; provided, however, that for good cause shown, the secretary of state may abate all or a portion of the delinquency penalty. Respondent Four Points is subject to this provision and submitted no petition for good cause in its delinquency.
- II. In view of the foregoing, Respondent agrees to the following undertaking and sanctions:
1. Respondent Four Points agrees that that it has voluntarily consented to the entry of this Order and represents and avers that no employee or representative of the Bureau has made any promise, representation, or threat to induce its execution.
 2. Respondent Four Points agrees to waive its right to an administrative hearing and any appeal therein under this chapter.
 3. Respondent Four Points agrees that this Order is entered into for purpose of resolving only the matter as described herein. This Order shall have no collateral estoppel, res judicata or evidentiary effect in any other lawsuit, proceeding, or action, not described herein. Likewise, this Order shall not be construed to restrict the Bureau's right to initiate an administrative investigation or proceeding relative to conduct by Respondent which the Bureau has no knowledge at the time of the date of final entry of this Order.
 4. Respondent Four Points agrees not to take any action or make or permit to be made any public statement, including in regulatory filings or otherwise, denying, directly or indirectly, any allegation in this Consent Order or create the impression that the Consent Order is without factual basis. Nothing in this provision affects Respondent's testimonial obligations or right to take legal positions in litigation in which the State of New Hampshire is not a party.
 5. Respondent Four Points agrees to cease and desist from further violations of New

Hampshire RSA 421-B.

6. Respondent Four Points agrees to submit payment to the State of New Hampshire representing administrative penalties in the amount of Four Thousand Dollars (\$4,000).
7. Upon execution of this Order by Respondent Four Points, Four Points agrees to pay a total of Four Thousand Dollars (\$4,000) to the State of New Hampshire, which will be applied to settlement of the above-captioned matter. Payment must be made by 1) business check, certified check, or postal money order; 2) made payable to the State of New Hampshire; and 3) mailed to the Bureau of Securities Regulation, Department of State, State House, Room 204, Concord, New Hampshire, 03301.

III. Based on the foregoing, the Bureau deems it appropriate and in the public interest to accept and enter into this Order. **THEREFORE, IT IS HEREBY ORDERED THAT:**

1. Respondent cease and desist from further violations of the New Hampshire Securities Act pursuant to RSA 421-B.
2. Respondent pay administrative penalties in the amount of Four Thousand Dollars (\$4,000).
3. Respondent comply with the above-referenced undertakings and sanctions.

Executed this 12th day of February, 2021.

(13)

Mike Martino

on behalf of Four Points Capital Partners, LLC
(Please print name below)

Mike Martino, CEO

Entered this 3rd day of March, 2021.

Barry Glennon
Barry Glennon, Director

N.H. Bureau of Securities Regulation