

IN THE CIRCUIT COURT OF THE FIFTEENTH JUDICIAL CIRCUIT
IN AND FOR PALM COUNTY, FLORIDA

AFFIDAVIT FOR ARREST WARRANT

BEFORE ME, Judge JEFFREY DANA GILLEN of the Fifteenth Judicial Circuit Court in and for Palm Beach County Florida, personally appeared, Affiant, Special Agent Antonio W. Martindale of the Florida Department of Law Enforcement and Co-Affiant, Investigator Joan Kalloo of the Florida Office of Financial Regulation, who, after being duly sworn by me, deposes and requests that an arrest warrant be issued for:

Subject: A



Matthew Alec Braun
White Male
DOB 01/02/1982
Social Security Number: [REDACTED]
Driver's License: B650-541-82-002-0
Last Known Address: 20929 Ramita Trail, Boca Raton, Florida 33433

Subject: B



Michael John Creamer
White Male
DOB 07/08/1969
Social Security Number [REDACTED]
Driver's License: C656-550-69-248-0
Last Known Address: 6798 22nd Way S., St. Petersburg, Florida 33712

Michael John Creamer, Rebeca Gonzalez and Matthew Alec Braun Complaint Affidavit

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CLERK OF CIRCUIT COURT
PALM BEACH COUNTY, FL

Subject: C



Rebeca Gonzalez

White Female

DOB 11/04/1974

Social Security Number: [REDACTED]

Driver's License: G524-720-74-904-0

Last Known Address: 9548 Burlington PL, Boca Raton, Florida 33473

Affiant and Co-Affiant hereby make this Complaint against the above-listed persons based upon the following probable cause:

TYPE OF COMPLAINT

SUBJECTS A-C:

1. ORGANIZED SCHEME TO DEFRAUD OVER \$50,000.00 - FSS 817.034(4)(a)1
2. SALE OF UNREGISTERED SECURITIES - F.S. 517.07(1)(2)
3. SALE OF SECURITIES BY UNREGISTERED PERSON -F.S. 517.12(1)
4. SECURITIES FRAUD -F.S. 517.301

Date and Time of Occurrence: January 9, 2013 (purchase of Century Partners) through April 30, 2015 (closure of FAMG account)

Location of Offenses: The State of Florida in Palm Beach and Broward counties

VICTIMS

- 1 Carmine Della Rocca
- 2 Steve Ringer
- 3 Marian Hughart
- 4 Florence Nigro
- 5 Laura Richman (Deceased)

FLORIDA STATUTES

817.034(3)(a); (4)(a)1,3 – “Scheme to defraud” means a systematic, ongoing course of conduct with intent to defraud one or more persons, or with intent to obtain property from one or more persons by false or fraudulent pretenses, representations, or promises or willful misrepresentations of a future act.

OFFENSES.—

(a) Any person who engages in a scheme to defraud and obtains property thereby is guilty of organized fraud, punishable as follows:

1. If the amount of property obtained has an aggregate value of \$50,000 or more, the violator is guilty of a felony of the first degree.
3. If the amount of property obtained has an aggregate value of less than \$20,000, the violator is guilty of a felony of the third degree.

517.07(1) - Registration of securities.

(1) It is unlawful and a violation of this chapter for any person to sell or offer to sell a security within this state unless the security is exempt under s. 517.051, is sold in a transaction exempt under s. 517.061, is a federal covered security, or is registered pursuant to this chapter.

517.12(1) - Registration of dealers, associated persons, intermediaries, and investment advisers.

(1) No dealer, associated person, or issuer of securities shall sell or offer for sale any securities in or from offices in this state, or sell securities to persons in this state from offices outside this state, by mail or otherwise, unless the person has been registered with the office pursuant to the provisions of this section. The office shall not register any person as an associated person of a dealer unless the dealer with which the applicant seeks registration is lawfully registered with the office pursuant to this chapter.

517.301 Fraudulent transactions; falsification or concealment of facts.—

(1) It is unlawful and a violation of the provisions of this chapter for a person:

(a) In connection with the rendering of any investment advice or in connection with the offer, sale, or purchase of any investment or security, including any security exempted under the provisions of s. 517.051 and including any security sold in a transaction exempted under the provisions of s. 517.061, directly or indirectly:

1. To employ any device, scheme, or artifice to defraud;
2. To obtain money or property by means of any untrue statement of a material fact or any omission to state a material fact necessary in order to make the statements made, in the light of the circumstances under which they were made, not misleading; or
3. To engage in any transaction, practice, or course of business which operates or would operate as a fraud or deceit upon a person.

517.302(1) Whoever violates any of the provisions of this chapter is guilty of a felony of the third degree.

(2) Any person who violates the provisions of s. 517.312(1) by obtaining money or property of an aggregate value exceeding \$50,000 from five or more persons is guilty of a felony of the first degree, punishable as provided in s. 775.082, s. 775.083, or s. 775.084.

All information contained in this Affidavit is based on your Affiant and Co-Affiant's (1) personal knowledge and observations during the course of this investigation; (2) information conveyed to your Affiants by witnesses and law enforcement; (3) review of the physical evidence obtained during the investigation; and (4) review of records including complaints, business records and financial records.

Your Affiant, Florida Department of Law Enforcement (FDLE) Special Agent Antonio W. Martindale has been a sworn law enforcement officer for over twenty-eight years. Your Affiant began his law enforcement career with the Seattle Police Department in 1989 in various positions to include uniform patrol, tactical operations, field training officer and instructor assignments. In 1999, Your Affiant accepted a position with the Coral Springs Police Department as a uniform patrol officer. In 2003, Your Affiant accepted the position of Special Agent with FDLE and continues to serve in this position at the present time.

Your Affiant has successfully completed several FDLE assignments as a general investigator at the Broward and Palm Beach Field Offices where he has investigated numerous felony crimes, including auto theft, burglary, violent crimes, narcotics, in custody deaths, public corruption and securities fraud. Your Affiant has also successfully completed assignments as a task force officer with the US Drug Enforcement Administration Miami Field Division Diversion Response Team and Tactical Diversion Squad as well as an assignment to the Palm Beach Multi-Agency Diversion Task Force. Your Affiant has experience conducting large scale commercial diversion investigations involving illegal internet pharmacy operations, unlicensed legend drug wholesaling and associated money laundering and racketeering activities. Special Agent Martindale's training includes classes in investigation of the aforementioned felony crimes. Special Agent Martindale has applied for, obtained and executed numerous search warrants for the aforementioned types of investigations that led to successful criminal prosecution.

Your Co-Affiant, Joan Kalloo, is employed as a Financial Investigator – Criminal Enforcement (FICE) with the Office of Financial Regulation (OFR) located in Palm Beach County, Florida, and has been so employed for nine (9) years. As a FICE with the OFR Bureau of Financial Investigations, your Co-Affiant investigates consumer complaints pertaining to alleged violations of Chapter 517, Florida Statutes, the Florida Securities and Investor Protection Act. Previously, your Co-Affiant was employed as a Crime Intelligence Analyst II with the Division of Insurance Fraud in Plantation, Florida, for over four (4) years. During your Co-Affiant's tenure as an analyst, she conducted background investigation on persons or entities that violated the insurance code and assisted detectives in search warrants. Your Co-Affiant has training and experience in investigating securities fraud and is familiar with the methods commonly utilized among

individuals engaging in securities fraud, including high pressure sales tactics, boiler room practices, practices involving elderly abuse or preying upon particularly vulnerable victims and investors, and methods of money laundering and attempts to legitimize fraudulently obtained monies.

CASE BACKGROUND

This investigation originated with a victim complaint to OFR. In September of 2015, your Co-affiant obtained a notarized affidavit from victim Carmine Della Rocca alleging that Rebeca Gonzalez and another suspect believed to be Matthew Braun contacted him at his home in Tamarac, Florida in March and April 2013 and solicited two investment checks totaling \$110,000.00. Per Della Rocca's affidavit, Gonzalez established an investment advisor relationship with him in 2009 when she worked for a licensed securities investment firm that Della Rocca believed was Morgan Stanley. Your affiants have verified that Gonzalez was employed by the licensed securities investment firm of David Lerner and Associates from 2008 to 2010. Gonzalez and the male suspect met several times with Della Rocca at his home and solicited a security investment from Della Rocca in an entity called Blue Ocean Farm LLC. During a subsequent interview in August 2016, Della Rocca identified Braun as the person who accompanied Gonzalez when she met with Della Rocca to solicit securities investments in Blue Ocean Farm LLC. Della Rocca stated that Gonzalez described Blue Ocean Farm LLC as an investment opportunity in a fish farm project that would yield a guaranteed return. Della Rocca stated that he initially agreed to make a \$100,000.00 investment in Blue Ocean but Gonzalez and Braun eventually talked Della Rocca into paying them an additional check for \$10,000.00 in exchange for a higher interest rate on his principal. Della Rocca claimed that he was issued a promissory note in the amount of \$110,000 that was dated April 15, 2013 and identified Blue Ocean Farm LLC, a South Dakota Limited Liability Company as a Maker, and identified Della Rocca as a Holder. Per Della Rocca, the promissory note was issued by Gonzalez and specified a three year repayment of the \$110,000.00 principal with a 6% annual interest rate to accrue until the balance of any unpaid principal or interest has been paid. On August 30, 2013, Della Rocca signed a notarized Subscription Agreement for Promissory Note as a subscriber for Blue Ocean Farm, LLC, a South Dakota Limited Liability Company. This occurred as a result of Della Rocca complaining to Gonzalez for months that he had no signed documents. Della Rocca maintained a notarized copy and Gonzalez took no copies; either photocopied or original notarized. Della Rocca claimed that he has not received any repayment of the principal or interest returns on his investment to date.

Your affiants' investigation into this matter revealed that Braun, Creamer, and Gonzalez illegally defrauded investors of hundreds of thousands of dollars using false Blue Ocean Farm, LLC promissory notes like the one signed by Della Rocca. Furthermore, your affiants have found no evidence that Blue Ocean Farm, LLC actually owns and operates fish farms or is even a legitimate business. Instead, all indications are that Blue Ocean Farms, LLC is a shell corporation created for the sole purpose of defrauding potential investors/victims.

Your Co-affiant advised that several bank account records associated with Braun, Creamer and Gonzalez and related companies had been obtained via subpoena and identified several additional potential senior citizen victims with an estimated total investment loss of \$507,040.00. The funds in the subpoenaed bank accounts were withdrawn and the accounts closed as of May 2015. Several investors, identified through banking records were notified by OFR via telephone and mail that they were the potential victims of fraud.

One victim, identified as Steven Ringer, provided OFR with a copy of a \$15,000.00 promissory note from Blue Ocean Farm LLC. Your Co-affiant also advised that Gonzalez, Braun, Blue Ocean Farms LLC, and Century Partners LLC (a South Dakota corporation related to Blue Ocean Farms LLC) had been certified by the State of Florida as not being registered to conduct business pursuant to Chapter 517 of the Florida Statutes pertaining to securities investments.

Once it became evident that the suspects in this case had engaged in criminal violations of the Florida Securities and Investor Protection Act, your Co-Affiant referred this case to FDLE for a joint investigation. Your Co-affiant provided your affiant with copies of all OFR investigative reports, financial documents and victim affidavits that were obtained by the OFR investigation for the FDLE case file.

FACTS OF THE CASE

In February 2016, your affiants began a review of OFR obtained copies of certified banking records, South Dakota and Florida corporate filings, promissory notes issued to victims, Florida investment securities licensure records and notarized written victim affidavits. During the course of the joint investigation, your affiants subsequently conducted sworn interviews of alleged victims Marian Hughart, Florence Nigro, Carmine Della Rocca and Steven Ringer. Your affiants also obtained and analyzed certified copies of banking records for accounts found to be associated with the defendants, queried Florida and South Dakota Departments of Agriculture for aquaculture licensure and permits, and obtained certified copies of business records in reference to the corporate ownership of the South Dakota corporate entities that issued the promissory notes to the investor victims in Florida.

OFFICE OF FINANCIAL REGULATION, DIVISION OF SECURITIES REGISTRATION

Certified records were received from the OFR, Division of Securities for Michael Creamer, Rebeca Gonzalez, and Matthew Braun.

Pursuant to Chapter 517, Florida Statutes, the Florida Securities and Investor Protection Act, securities brokers must be licensed and registered to sell securities in the state of Florida. Failure to register is a violation of this statute and is a third degree felony. The sale of securities by an unlicensed individual is a violation of this statute and a third degree felony. Based on your Affiants' training and experience, individuals who sell securities in violation of these statutes are often selling unregistered securities, often to less knowledgeable or informed investors who may be

more vulnerable to high-pressure sales tactics, bait and switch tactics, and other fraudulent practices. Also, based on your Affiants' training and experience, the promissory notes mentioned above and described in more detail below qualify as securities under Chapter 517. Florida law requires not only that this sort of securities be sold or offered by a registered person or entity, but also that the securities themselves be registered.

The OFR Certification affirmed that under the provisions of Florida Statutes, Chapter 517, Gonzalez was previously registered to conduct business as an associated person. Gonzalez held a Central Registration Depository ("CRD") license (CRD #4258883) with the Financial Industry Regulatory Authority, Inc. ("FINRA"). The CRD is a central licensing and registration database for securities industry and its regulators.

Gonzalez was employed with (1) Cardinal Capital Management, Inc., from February 5, 2001 to January 17, 2003; (2) David Lerner Associates, Inc., from March 13, 2008 to November 30, 2010; (3) National Securities Corporation from February 15, 2011 to June 10, 2011, and (4) Southeast Investments, N.C., Inc., from June 7, 2011 to December 14, 2012. Gonzalez was *not* licensed to trade securities in the state of Florida subsequent to December 14, 2012 when she terminated her employment with Southeast Investments, N.C., Inc. On January 21, 2014, FINRA barred Gonzalez from association with any FINRA member and thereafter Gonzalez was not eligible to trade securities as a representative of a licensed firm in Florida.

The OFR Certification affirmed that under the provisions of Florida Statutes, Chapter 517, Braun was previously registered to conduct business as an associated person (CRD #55565483). Braun was employed with David Lerner Associates, Inc., from January 29, 2009 to March 6, 2009 but was not licensed to trade securities in the state of Florida upon termination of his employment on March 6, 2009.

The OFR Certification affirmed that under the provisions of Florida Statutes, Chapter 517, there were no registrations for Michael Creamer, Blue Ocean Farm Inc., Blue Ocean Farms LLC (South Dakota corporation) and Century Partners, LLC d/b/a Focused Asset Management Group (South Dakota corporation) and that these individuals and entities could not legally trade in investment securities in the state of Florida. OFR also confirmed that the notes issued by Blue Ocean Farms, LLC are not a registered security in the State of Florida.

DEPARTMENT OF AGRICULTURE AND CONSUMER SERVICES

Your affiants reviewed certified records that were received from the Florida Department of Agriculture and Consumer Services (FDACS), Division of Aquaculture. Pursuant to Chapter 597, Florida Statutes, any person engaging in aquaculture in the state of Florida is required to obtain a certificate of registration from FDACS.

The Certification affirmed that under the provisions of Chapter 597, Florida Statutes, there were no registrations for Matthew Braun, Michael Creamer, Rebeca Gonzalez, Blue Ocean Farm Inc.,

Blue Ocean Farm, LLC, Aquaculture & Fish Farming Awareness Group (a non-registered business name listed as a corporate officer in SUNBIZ for Blue Ocean Farm Inc.), and Century Partners, LLC, d/b/a Focused Asset Management Group. As such, they could not lawfully conduct commercial aquaculture business in Florida.

SOUTH DAKOTA CORPORATIONS ASSOCIATED WITH CREAMER, GONZALEZ AND BRAUN

A query of the South Dakota Secretary of State, Division of Corporations, was conducted to verify the South Dakota registration of any corporate officers, associated companies or individuals found to have been listed on promissory notes, bank account applications and other financial documents that have been identified as a result of this investigation. The query located the following corporations associated with Braun, Creamer, and Gonzalez:

- **Century Partners, LLC (Owner Name)**
Focused Asset Management Group (Fictitious Name)
110 East Center Street, #2053, Madison, SD 57042
Registration expires: January 25, 2018
- **Blue Ocean Farm, LLC**
110 East Center Street, #2053, Madison, SD 57042
Filed: June 17, 2013; Delinquent since June 1, 2014
Registered Agent: Dakota Agent Services, LLC, 110 East Center Street, #2053, Madison, SD 57042

In January 2017, your affiants conducted a review of certified business records from CORP 95. CORP 95 is a California-based company that specializes in establishing corporate filings in several states and later offers the sale of the companies to their clients as ready-made startup businesses. These businesses are known as "shelf" companies or "shelf" LLCs. CORP 95 was identified by the investigation as being the original business that filed the South Dakota registered Limited Liability Companies (LLCs) known as Century Partners d/b/a Focused Asset Management Group LLC and Blue Ocean Farm LLC and offered them for sale. Certified copies of the business records were obtained via Subpoena Duces Tecum. A review of the business records was conducted in order to identify the corporate officers and individuals who purchased the South Dakota based companies from CORP 95 and later established Blue Ocean-affiliated investment trading and banking accounts. A summary of the CORP 95 documents in reference to Century Partners LLC and Blue Ocean Farm LLC is as follows:

Century Partners LLC ("CP") – South Dakota Department of State Registration #DL0300889 was filed on January 9, 2013 by CORP 95. An Internal Revenue Service (IRS) Employer Identification Number (EIN) notification letter documented that CP was issued (EIN) 46-1815786 on January 19, 2013. David DeLoach of CORP 95 was listed as a sole member on the IRS notification letter.

Several accompanying CORP 95 purchasing order documents for CP indicated that Matthew Braun of 20929 Ramita Trail, Boca Raton, Florida purchased a "LLC Package (South Dakota) (Shelf LLC)" for the price of \$1,200 on January 25, 2013. The purchasing order documents also indicated that a separate fictitious name filing for "Focused Asset Management Group" had been ordered by Braun. The CORP 95 purchasing documents have several handwritten notes that appeared to contain Braun's cellular telephone number and email address. Rebeca Gonzalez's name, Hialeah, Florida address and Bank of America Onyx Financial Life Inc. Visa credit card number (.. [REDACTED]) were also written on the bottom of one of the pages. A corresponding charge on the Onyx Financial Life Bank of America account ending in [REDACTED] indicated a payment to CORP 95 for \$1,200.00 posted on January 28, 2013.

CORP 95 Invoice #189988640 – indicated that CP was transferred to the ownership of Matthew Braun for the price of \$1,200.00 using Visa Credit Card ending in .. [REDACTED] (Gonzalez's credit card) on January 25, 2013. A corresponding South Dakota Department of State Fictitious Name Registration Receipt indicated a fictitious name change to Focused Asset Management Group (FAMG) on that same date. A Resolution Adopted by Organizer of LLC form dated January 25, 2013 declared that David DeLoach withdrew himself as a Manager of CP following the sale of the LLC to Braun.

FASTKIT Invoice #52845 – indicated that CORP 95 shipped a "LLC Kit" that contained corporate document templates, stamps and other office materials to Braun at 20929 Ramita Trail, Boca Raton, FL via FedEx on January 25, 2013. The same Ramita Trail address has been used by Braun for both a Florida Driver's license and registration as a real estate sales associate with the Florida Department of Professional Regulation.

CORP 95 Invoice #225495433 – indicated that a 2014 South Dakota business registration renewal and annual report were filed for CP by CORP 95 for the price of \$209.00 charged to Braun's Visa Credit Card ending in .. [REDACTED] on January 9, 2014. A corresponding charge on the Blue Ocean Farm Wells Fargo account ending in ... [REDACTED] indicated a payment to CORP 95 for \$209.00 posted on January 10, 2014.

Blue Ocean Farm LLC (BOF) - South Dakota Department of State Registration #DL032855 was filed on June 17, 2013 by CORP 95. CORP 95 purchasing order documents for BOF indicate that Michael Creamer of 6798 22nd Way South, St. Petersburg, Florida purchased a "So. Dakota LLC Package" for \$999.00 on June 11, 2013. The purchasing documents had several handwritten notes that listed Creamer's social security number, Florida cellular telephone number, MasterCard number and email address. The purchasing document also had the name "Gulf Coast Displays INC SD" printed at the top of the page as a contact. An online query of the South Dakota Department of State website indicated another CORP 95 established South Dakota LLC registration as #DB056694 for Gulf Coast Displays Incorporated (INC).

CORP 95 Invoice #202372282 – indicated that BOF was transferred to the ownership of Michael Creamer on June 11, 2013, for the price of \$999.00 using a MasterCard ending in ... [REDACTED] that was provided to CORP 95 by Creamer.

IRS SS-4 Application for Employer Identification Number for BOF dated June 12, 2013, identified Creamer's name and social security number as "The name of responsible party". The SS-4 form also identified Creamer as a member and lists (954) 980-5750 as the applicant's telephone number. Certified records from AT&T Wireless identify the subscriber as Michael Creamer from March 12, 2008 to August 14, 2017. The SS-4 form has an accompanying CORP 95 Authorization to Obtain EIN form dated June 12, 2013 with Creamer's name and suspected signature at the bottom of the form.

An IRS Employer Identification Number notification letter dated June 27, 2013 addressed to Blue Ocean Farm LLC, advised that (EIN) 46-3034759 had been assigned to BOF and identified Creamer as a sole member.

The CORP 95 records also contained several copies of documents pertaining to a civil lawsuit in the 17th Judicial Circuit in and for Broward County, Florida involving the family of Laura Richman and BOF. The court documents indicated that BOF was a defendant in a civil complaint issued by Richman's family members in November 2016. No additional significant information was obtained during the review.

FLORIDA CORPORATIONS ASSOCIATED WITH CREAMER, BRAUN, AND GONZALEZ

In May 2017, your affiants conducted an online query of the Florida Department of State, Division of Corporations website ("SunBiz") in reference to corporate filings for Florida. The review was conducted in order to identify the corporate officers of several companies found to be recipients of checks and wire transfer funds from the Fidelity Investments and Wells Fargo Bank accounts controlled by Michael Creamer, Matthew Braun, and Rebeca Gonzalez. A summary of the SUNBIZ online query is as follows:

- **Blue Ocean Technology Incorporated (Inc.) formerly known as Atlantic Pacific Export Inc.** (2006 - 2007) and **Michael Gnagey Landscaping Services Inc.** (2007-2013)
7540 Sunshine Skyway Lane, St. Petersburg, Florida 33711
Filed: May 25, 2006, Inactive since September 25, 2015
Federal Employer Identification (FEI) Number: 20-4964797
Registered Agent: Mike Creamer, 7540 Sunshine Skyway Lane, St Petersburg, Florida 33711
Officer: Michael Creamer, 7540 Sunshine Skyway Lane, St Petersburg, Florida 33711
- **GC Displays Inc.**
10225 Ulmerton Road, Largo, Florida 33747
Filed: November 28, 2007, Active

Federal Employer Identification (FEI) Number: 26-149902

Registered Agent: Mike Creamer 10225 Ulmerton Road, Largo, Florida 33747

Officers: Mike Creamer 10225 Ulmerton Road, Largo, Florida 33747, Dottie L. Creamer (2008-2014) 4681 107th Circle North, Clearwater, Florida 33762, Meg Hogan (2010-2013) 4681 107th Circle North, Clearwater, Florida 33762

- **Onyx Financial Life Inc.**

8004 NW 154th Street, Florida 33747

Filed: September 10, 2012, Inactive since September 27, 2013

Federal Employer Identification (FEI): None

Registered Agent: Superbiz Registered Agent Inc. 2761 Vista Parkway, Suite #E4, Miami Lakes, Florida 33016

Officer: Rebeca Gonzalez 8004 NW 154th Street, Florida 33747

- **Blue Ocean Farm Inc.**

6860 Gulfport Boulevard #163, South Pasadena, Florida 33707

Filed: December 3, 2013, Inactive since September 25, 2015

Federal Employer Identification (FEI): None

Registered Agent: Matt Braun 7777 Glades Road, #100, Boca Raton, Florida 33434

Officers: Aquaculture & Fish Farming Awareness Group, 7777 Glades Road, #100, Boca Raton, Florida 33434, Rebeca Gonzalez 23329 SW 61st Street, Avenue A, Boca Raton, Florida 33428, and Mike Creamer (2013-2014) 6860 Gulfport Boulevard, #163, South Pasadena, Florida 33707

The Aquaculture & Fish Farming Awareness Group listed as a corporate officer for Blue Ocean Farm Inc. was not found to be registered as a Florida corporation.

VIRTUAL OFFICE LEASE

A review of banking records controlled by the defendants and SUNBIZ corporation registrations found that a virtual office service called West Boca Executive Suites Inc. (WBES) was used by Gonzalez and Braun as a mailing address for Blue Ocean Farm Inc.'s, registered agent (Braun) and for a corporate officer identified as the Aquaculture & Fish Farming Awareness Group. In August 2016, your affiant received certified business account records from WBES located at 7777 West Glades Road, Suite 100, Boca Raton, FL 33434 pursuant to a Subpoena Duces Tecum and conducted an interview of WBES Office Manager Jaderlene Oliveira.

Per Oliveira, Blue Ocean Farm Inc. (BOF) was a virtual office client. Oliveira was familiar with Rebeca Gonzalez and Matthew Braun who were granted access to the building to use the general meeting rooms and received BOF mail. Oliveira said she observed Gonzalez and Braun come to the WBES office separately on numerous occasions to pick up BOF mail. Oliveira stated that Gonzalez opened the BOF virtual office account using her Florida Driver's License # G524-720-

74-904-0 and Braun used a Visa credit card ending in ... [REDACTED] issued in the name of Matthew Braun to pay for the initial leasing deposit.

The WBES records for the BOF account show that on September 17, 2013, Rebeca Gonzalez and Matt Braun established an account for a WBES Silver Package Virtual Office Space for \$100 per month. The account application form had "FAMG (Focused Asset Mgmt Grp)" in the company name entry block but it appeared to have been crossed out and the name "Blue Ocean Farm" hand written in its place. The address of "8004 NW 154th Street #305, Miami Lakes, Florida 33747" was entered as the company address for Blue Ocean Farm. The mailing address of 8004 NW 154th Street #305, Miami Lakes, Florida 33747 is a United Parcel Service store post office box also known to your affiants as a mailing address used for Onyx Financial Life Inc. that was owned by Gonzalez. On December 5, 2013, the Agreement was upgraded to a Gold Package and Rebeca Gonzalez signed as the client agreeing to a monthly fee of \$150 excluding tax. A copy of Gonzalez's Florida Driver License number G524-720-74-904-0 was included in the records. There were three (3) Automatic Credit Card Billing Authorization Forms which Braun signed as customer authorizing West Boca Executive Suites Inc., to automatically bill monthly. No additional names of BOF corporate officers or associated companies to Gonzalez and Braun were found in the WBES account records.

VICTIMS

1. Carmine Della Rocca

Carmine Della Rocca ("Della Rocca") is an 84 year-old retiree living in Tamarac, Florida. On Tuesday, August 2, 2016, your affiants met with Della Rocca at his residence located at 7901 Hibiscus Circle, Tamarac, FL in reference to his knowledge of Blue Ocean Farm Inc. (BOF). Della Rocca had previously identified himself to OFR as a victim of grand theft and securities fraud, further alleging that BOF and a subject identified as Rebecca Gonzalez defrauded him of approximately \$110,000.00 in 2013. Della Rocca provided a sworn audio recorded interview in reference to his allegations involving BOF, Gonzalez, and several of Gonzalez's associates who were suspected of securities fraud. Della Rocca previously advised that he was not very fluent in English and requested that his wife, Marfisa Fantoni, be present during the interview and further requested that a Spanish speaking investigator also be present to better help him translate his statements into English. Inv. Robert Crespo (OFR), who is a native Spanish speaker, was present during the interview to assist investigators with Spanish - English translation of Della Rocca's sworn statement. A summary of Della Rocca's statements are as follows:

Della Rocca had been introduced to Gonzalez by family friends several years earlier and he had been sold several other annuities and securities investments while she worked at Morgan Stanley. Della Rocca maintained a business relationship with Gonzalez because she spoke fluent Spanish, was available via cellular phone whenever he had questions about investment opportunities, would arrange to visit him at his home on short notice if necessary, and had a history of coordinating investments that provided satisfactory returns.

In late 2012 or early 2013, Della Rocca stated that Gonzalez informed him that she would start working as an independent financial advisor but still wanted to continue to work with him to handle his investments. Della Rocca said that during this time period, he had developed a strong trust of Gonzalez and never verified whether or not she was licensed to trade securities as an independent advisor or was actually employed by an investment firm that was licensed to trade securities. Della Rocca stated that Gonzalez and another woman named "Jennifer Salter" had visited his home on one occasion to solicit annuities and life insurance policies. Della Rocca stated that Salter did not solicit any securities investments from him and he was not interested in the services that Salter had to offer. During the visit, Gonzalez introduced Salter as her "partner" and provided him with a business card indicating that they worked for a licensed company called "Financial Life" located at 10 Fairway Drive, Suite #105 in Deerfield Beach, FL (found to be a virtual office service). Your Affiants' investigation revealed that Salter was a licensed annuities sales person during this time, but was not present for any of the subsequent solicitations involving BOF or FAMG of Della Roca or other victims described below. Della Rocca said that he did not purchase any investment services on that day but Gonzalez told him that she would be offering him an unspecified securities investment opportunity in the near future that would yield 4% interest and be very low risk.

Over the next several weeks, Della Rocca stated that Gonzalez called him several times about a low risk investment opportunity that would yield a 4% return over three years if he invested \$100,000.00. Della Rocca said that he made arrangements to sell property that he owned in Costa Rica in order to purchase the securities investment offered by Gonzalez. Della Rocca stated that Gonzalez met with him at his residence and she arranged a wire transfer of \$100,000.00 from his Fidelity Investment account to another Fidelity Investment account called "FAMG". Della Rocca further stated that he received no paperwork for the transaction or any type of prospectus or brochures that described the company that he had just invested in. Della Rocca said that he received a new business card from Gonzalez that had the names "Blue Ocean Farm" and "Focused Asset Management Group" that identified Gonzalez as a "Sr. Financial Portfolio Analyst". Per Della Rocca, the business card had the same Deerfield Beach, FL address as the one from Financial Life that Gonzalez had provided several weeks earlier when she visited him with Jennifer Salter.

Della Rocca stated that Gonzalez contacted him at his residence on April 25, 2013 and offered to increase the yield of the Blue Ocean/FAMG investment to 6% if he would provide an additional \$10,000.00. Della Rocca said that he accepted Gonzalez's offer and arranged the issuance of a Fidelity Investments check from his Cash Management account to Gonzalez's Fidelity FAMG account. Della Rocca claimed that Gonzalez filled out the check for \$10,000.00 in his presence and he signed it. Della Rocca stated that he asked Gonzalez for a copy of a promissory note or some type of receipt of payment for the \$110,000.00 that he paid her over the past month. Della Rocca further stated that Gonzalez did not provide him with any documentation on that day but he trusted her enough to wait several more days for the documents to be provided.

Della Rocca claimed that he made numerous calls to Gonzalez over the next several months requesting a promissory note or some type of documentation for his payment for the investment before Gonzalez finally responded to his home with a promissory note. Della Rocca stated that Gonzalez gave him a copy of a Promissory Note dated April 15, 2013 and Subscription Agreement for Promissory Note dated August 30, 2013, for "Blue Ocean Farm LLC of South Dakota". The Promissory note had the printed name of "Michael Creamer" as President. The Subscription Agreement for Promissory Note had the signature of "Matt Braun" as the Authorized Agent, specified a total of \$110,000.00 at a 6% interest rate and was issued by Blue Ocean Farm LLC, a South Dakota Limited Liability Company. The promissory note stated that the outstanding principal under this note shall be due and payable in full within three years. Della Rocca stated that he insisted that Gonzalez accompany him to his own bank where he could get the promissory note documents notarized. Della Rocca said that only one copy of the promissory note documents was notarized and given to him and that Gonzalez did not request any copies to be made for herself or Blue Ocean Farm.

Della Rocca stated that he had not received any financial statements or interest reports from Blue Ocean Farm after several months since he had the original promissory documents notarized. Della Rocca said that he expressed a growing concern about the security of his investment to Gonzalez through numerous telephone calls. Della Rocca stated that on one occasion, approximately 9 to 10 months after the promissory note had been issued, Gonzalez met Della Rocca at his home and brought a white male subject that she introduced as "Matt Braun". Della Rocca further stated that Braun did not speak Spanish and was introduced by Gonzalez as the president of Blue Ocean Farms. Della Rocca claimed that Braun was brought to his house in an attempt to gain more confidence in the Blue Ocean Farms investment and to possibly assess his lifestyle to determine whether or not Gonzalez could solicit further investment monies from him.

Della Rocca stated that he had not received any financial statements or any other documentation in reference to the status of his investment several months since the home visit by Gonzalez and Braun. Della Rocca further stated that he called Gonzalez who told him that he would start receiving some dividend checks after the two year anniversary of his investment payments and full repayment of the principal near the third anniversary. Della Rocca claimed that it was the last conversation that he had with Gonzalez. Della Rocca stated that he made numerous attempts to contact Gonzalez by personally visiting her last known work addresses and hiring a private investigator to locate her. Della Rocca said that all attempts to locate Gonzalez had failed and he had not received any interest payments or repayment of his principal to date. Della Rocca also said that he saw several photographs of Braun during his own online investigation to attempt to contact Braun and believed that the photographs he viewed were of the same person. He did not maintain or print any copies of the photographs that he utilized to identify Braun.

At the conclusion of the interview, Della Rocca stated that he had contacted several law enforcement agencies to report the incident and was eventually referred to OFR where he submitted a notarized complaint affidavit attesting to his account of the Blue Ocean Farm investment. Della Rocca further stated that Gonzalez told him that she had received payment

from her investment firm that she was employed by for her financial advisor services to him and that he did not have to worry about additional fees for her services.

Della Rocca showed your affiants the Blue Ocean-FAMG business card that Gonzalez provided to him during her solicitation of the BOF investment. The card had Focused Asset Management Group, a FAMG logo, Gonzalez's name and title on the front of the card, her email address, Rebeca@famgLLC.COM, and a handwritten cellular telephone number matching that used on the Financial Life business card. The reverse side of the card had both FAMG and BOF logos with printed sales literature for BOF and financial planning services. Your affiant took several photographs of the card before returning it to Della Rocca.

2. Steven Ringer

Steven Ringer ("Ringer") is a 70 year-old retiree living in Lake Worth, Florida. On Friday, October 28, 2016, your affiants met with Ringer at his residence located at 4721 Lucerne Lakes Boulevard East, Unit #735, Lake Worth, FL in reference to his knowledge of Blue Ocean Farm Inc. (BOF). Ringer had previously identified himself to OFR as a victim of grand theft and securities fraud, further alleging that BOF and two subjects identified as Rebecca Gonzalez and Matthew Braun defrauded him of approximately \$15,000.00 in 2013. Ringer showed your affiant several documents and cellular telephone screen images that he claimed were provided or transmitted to him by Gonzalez and Braun. Ringer provided a sworn audio recorded interview in reference to his allegations involving BOF, Gonzalez, and several of Gonzalez's other associates who were suspected of securities fraud. A summary of Ringer's sworn interview is as follows:

Ringer stated that he had been a financial investment client of Gonzalez since 2009 when she was his financial advisor while she was employed by Lerner and Associates. Ringer said that he believed that Gonzalez had been transferred to several other licensed investment firms and worked as an independent financial advisor over the course of their business relationship. Ringer stated that he never questioned Gonzalez's Florida licensure status to trade securities investments or provide financial advisor services to him. Ringer further stated that Gonzalez continued to work with him with other securities investments that were not offered to him by Lerner and Associates.

Ringer stated that Gonzalez contacted him and offered him an investment opportunity with a fish farm business in South Dakota called "Blue Ocean LLC". Per Ringer, Gonzalez claimed that company had developed advanced technologies for raising fish for food consumption but was not specific as to where the operations were actually located. Ringer stated that Gonzalez and a representative of BOF who introduced himself as "Matthew Braun" visited him at his home in April 2013 to solicit investment in the company. Ringer said that Gonzalez and Braun identified another person named "Mike Creamer" as the President of BOF but Creamer was not present at the meeting and Ringer has never seen him in person. Ringer further stated that Braun claimed that the BOF fish farming technology involved "floating spheres" that were anchored off shore that allowed the fish to swim freely but be contained until the fish could be harvested. Ringer advised

that he asked Gonzalez and Braun if BOF had a website where potential investors could check out the fish farm operation and was told that BOF was in the process of setting up a website but it was not ready at the time of the solicitation to Ringer. Ringer stated that he agreed to invest approximately \$15,000.00 in Blue Ocean Farms LLC at an annual interest rate of 5% of the principal to be paid at the end of a three year period from the purchase date. Ringer further stated that neither Gonzalez nor Braun offered any printed prospectus or brochures at the time of solicitation nor did they provide a copy of a promissory note for his records. Per Ringer, Gonzalez instructed him what to write on the Chase Bank check that he issued to her and was told that "Fidelity Invest" and "FAMG" was the bank that held the business account for BOF. Ringer also showed your affiant a copy of Chase Bank Check #1923 dated April 16, 2013 in the amount of \$15,000.00 paid to the order of "Fidelity Invest" with the name "FAMG" that was written in the memo portion of the check.

Ringer stated that Gonzalez arranged a meeting with him at a café in the area of Yamato Road and State Road 7 in Boca Raton, Florida in August 2013 to deliver a promissory note for his BOF investment payment of approximately \$15,000.00 made in April 2013. Ringer said that Gonzalez provided him with only one copy of the promissory note that he signed and kept for his records but he was not provided with another copy to sign for the company's records. Ringer further stated that Gonzalez never asked him to make a copy of the signed promissory note for BOF at the meeting nor did she ever request a copy of the signed promissory note to be mailed or faxed to BOF.

Ringer stated that he routinely called both Gonzalez and Braun to check on the status of BOF and the accrued interest he expected to receive but found both very difficult to reach. Ringer claimed that neither reliably returned his telephone calls and Gonzalez would frequently refer Ringer to Braun to answer questions about the status of BOF. Ringer said that he contacted Braun a few times by telephone and asked him about the BOF website and was told that it could be found under the name "Blue Ocean Farms" but Ringer was never able to find it. Ringer also said that Braun was never very specific when asked for details about the financial status of BOF. Ringer claimed that Gonzalez and Braun never conducted any customer follow-up with him and eventually stopped answering his telephone calls and emails after several more months.

Ringer stated that in early 2016, he began doing his own internet research on Gonzalez, Braun and Creamer and found a few leads on other businesses that Braun and Creamer were possibly associated with. Ringer said that he located a business on the Florida Department of State SUNBIZ website called the Port St. Lucie Business Alliance where Braun was listed as a corporate officer. Ringer stated that he called the business and heard a voice mail recording identifying the person as "Matt Braun". Ringer advised that he left a message for Braun to call him back but never received a return telephone call. Ringer further stated that he located another Florida corporation called Blue Ocean Technology that listed "Michael Creamer" as a corporate officer. Ringer said that he contacted the business and spoke to Creamer who told him "I don't have anything to do with that company anymore but I will have Matthew Braun call you today". Ringer stated that Braun called him several hours later that day and Ringer asked him several questions

in reference to the status of his promissory note repayment. Braun told Ringer that BOF was doing very good but in the process of reorganizing. Ringer claimed that Braun attempted to reassure him that his promissory note was still valid but BOF would be profiting more from a patented "fish feeding formula" that it had developed rather than any monies it would receive for raising the fish. Per Ringer, Braun claimed that he needed to confer with Gonzalez before he made any arrangements to repay Ringer's promissory note but also claimed to be angry at Gonzalez for promising BOF clients too high of an interest rate on their investment agreements. Ringer stated Braun was not specific about the repayment arrangements for his promissory note but Ringer has not been contacted by either Braun or Gonzalez since that conversation.

In October 2016, Ringer stated that he made another attempt to call Braun to inquire about repayment of his BOF promissory note but Braun did not answer. Ringer claimed that Braun called him back a few minutes later but he could not understand what Braun was saying because Braun appeared to be mumbling or not speaking directly into the telephone. Ringer said that he received a text from Braun's telephone number shortly after Braun's brief conversation with him. Ringer further stated that he did not believe that the text was intended for him because it requested Ringer's telephone number and mentioned Braun's previous telephone conversation with Ringer.

At the conclusion of the interview, Ringer stated that he has not received any repayment of his principal investment of approximately \$15,000.00 or any interest payments at the rate that Gonzalez and Braun had agreed to and documented in the BOF promissory note issued in April 2013. Ringer also showed your affiants telephone screen shots of the alleged text message sent to him by Braun and Rebeca Gonzalez's contact information, listing work telephone and email addresses. The contact information screen shot listed Gonzalez's work number as (954) 801-8358 and email address as rebeca@famgllc.com.

3. Marian Hughart

Marian Hughart ("Hughart") is an 84 year-old retiree living in Boynton Beach, Florida. On Friday, March 18, 2016, your affiants met with Marian Hughart at her residence located at 8007 Saw Palmetto Lane, Boynton Beach, FL in reference to her knowledge of Blue Ocean Farm Inc. (BOF). Hughart had previously identified herself to OFR as a victim of grand theft and securities fraud, further alleging that BOF and a subject identified as Rebecca Gonzalez defrauded her of approximately \$50,000.00 in 2013. Hughart provided a sworn audio recorded interview in reference to her allegations involving BOF, Gonzalez, and other several of Gonzalez's associates who were suspected of securities fraud. A summary of the Hughart's sworn interview is as follows:

Hughart stated that she was introduced to Gonzalez at a David Lerner and Associates financial planning seminar in 2011 or 2012. Hughart stated that Gonzalez was an employee of Lerner and Associates at the time, and had been assigned as her financial advisor by the firm. Hughart said that she made a \$5,000.00 investment while Gonzalez was her financial advisor and had attended several financial planning seminars that were hosted by Lerner and Associates where Gonzalez

was present. Hughart further stated that Gonzalez invited her to a Duffy's restaurant on one occasion to attend a seminar that was not sponsored by Lerner and Associates. Hughart said that the purpose of Gonzalez's seminar was to sell elderly medical insurance plans to a large group of senior citizens who were expected to attend. Hughart stated that very few seniors attended the seminar and the group just had lunch at the restaurant.

Hughart stated that she attended another financial seminar several months later that had been hosted by an investment firm called "Southeast Investments". Hughart said that Gonzalez and another financial advisor named "Mr. Black" solicited her to invest in energy companies stock. Hughart advised that she initially invested approximately \$75,000.00 with Southeast Investments and believed that the energy stocks that she purchased returned sufficient dividends for the first several months. Hughart said she later issued another check for approximately \$18,000.00 to Gonzalez to purchase more of the energy company stock but was not sure if she had written out the check to Southeast Investments or to Gonzalez. Hughart further stated that she never saw the check for \$18,000.00 that was given to Gonzalez documented on any of her financial statements from Southeast Investments. Hughart said that Gonzalez called her several months later and advised her that the energy stocks investment was losing money. Hughart stated that she asked about her subsequent \$18,000.00 not being documented in the financial statements and was told that the money "had not been documented because it had already been lost". Hughart claimed that Gonzalez told her that the account was down to approximately \$59,000.00 and that Gonzalez suggested that she sell the stock before it lost more money. Hughart advised that she later called Southeast Investments on her own and instructed them to sell her shares in the energy company investment. Hughart said she received approximately \$50,000.00 after taxes from the sale of her shares.

Hughart advised that Gonzalez contacted her at her residence in early June 2013 and solicited an investment opportunity with a company that she claimed to be "a satellite of GE". Hughart stated that Gonzalez knew that she had received approximately \$50,000.00 from the sale of her previous investment with Southeast Investments and suggested that Hughart invest the entire amount with the GE satellite company. Hughart said that she thought Gonzalez meant that the "GE" company was actually a subsidiary of General Electric. Hughart stated that Gonzalez told her that the foreign electronics company manufactured electronic components in France under license in order to have lower taxes and operating costs. Hughart said that Gonzalez showed her a brochure that had a GE logo on the letterhead but did not provide her with her own copy. Hughart stated that she had several telephone conversations with Gonzalez over the next several days in reference to the electronics company investment and was told by Gonzalez that it was a good investment because it was "Blue Chip stock". Hughart further stated that she agreed to invest \$50,000.00 towards the electronics company and requested Gonzalez to come by her residence to receive the check and prepare the necessary documents.

Hughart stated that on June 13, 2013, Gonzalez responded to her home to pick up the check for the investment. Hughart said that she was having difficulty writing on that day due to a medical condition and Gonzalez offered to fill out portions of the check after Hughart wrote in the amount

of \$50,000.00 and signed her name in the signature block. Hughart stated that Gonzalez wrote in the name "Fidelity" in the memo block of the check and left the payee name blank. Hughart advised that Gonzalez told her that she wrote in Fidelity because that was where Gonzalez had her "brokerage account" where the money was going to be deposited for Hughart's investment. Hughart stated that Gonzalez placed a pink folder containing several financial documents and information about the company that Hughart was investing in on the table during the discussion. Hughart said that she trusted and liked Gonzalez from previous investment trades, and believed that Gonzalez had the proper licensure to trade securities even though Gonzalez did not specify whether or not she was still employed by a licensed securities trading firm. Hughart also said that Gonzalez never provided her with any current business cards and claimed that she had run out or the business cards with her new address in West Boca Raton were not ready yet. Hughart said that Gonzalez had written her cellular number (954)801-8358 on a Lerner and Associates card and used it whenever she wanted to contact Gonzalez. Hughart stated that she assumed that Gonzalez worked for Fidelity Investments or an independent investment firm that was affiliated with Fidelity Investments so she did not pay very much attention to Gonzalez's assistance with preparing the check for her. Hughart further stated that she left the room for a brief time and Gonzalez told her that she needed to leave for other appointments when she returned. Hughart said that she found the pink folder to be empty when she attempted to review the contents after Gonzalez had left her residence.

Hughart stated that she attempted numerous telephone calls to Gonzalez to request copies of the documents over the weeks following the June 13th meeting but none of the calls were answered. Hughart said that Gonzalez answered her telephone calls approximately two months later and told Hughart that her mother had passed away since their last meeting and her father had suffered a heart attack from the stress. Hughart said that Gonzalez agreed to meet Hughart at her home and bring her copies of the investment paperwork a short time after their telephone conversation.

In September 2013, Hughart said that Gonzalez came to her home and brought a business associate with her named "Matthew". Hughart described Matthew as a white male in his late 30's, approximately 5 feet, nine inches in height, with dark hair and a medium build. Hughart said that Gonzalez provided her with a promissory note for her \$50,000.00 investment contribution that had been paid to Gonzalez in July 2013 for the French electronics company stock. Hughart claimed that the promissory note had been issued by a company called "Blue Ocean LLC of South Dakota" and was not the same company that she had been solicited by Gonzalez to invest in several months earlier. Hughart stated that she was very surprised and immediately confronted Gonzalez about the unauthorized change to her investment. Hughart said that "Matthew" had remained silent during the initial conversation and appeared to be working on a laptop computer that he brought with him until he told Hughart that the investment could not be changed "because the IRS was already documenting dividend returns on the investment with Blue Ocean". Hughart claimed she told both Gonzalez and "Matthew" that she wanted her money back. Hughart further claimed that Gonzalez and "Matthew" told her that she could not get her money back because the investment with Blue Ocean had already been recorded by the IRS and the IRS was now collecting taxes on it. Hughart further stated that Gonzalez told her that she could not begin to

receive any dividend checks until she signed the promissory note for Blue Ocean. Hughart said that she did not want to sign the promissory note but felt very intimidated by both Gonzalez and "Matthew". Hughart said that she signed the original copy of the Blue Ocean promissory note and "Matthew" closed his laptop and made the comment "well, I went to prison before, but this time I'm smarter". Hughart also said that both Gonzalez and "Matthew" got up from the table and left her residence without taking the signed copy of the promissory note with them. Hughart stated that she did not sign any additional copies of the Blue Ocean promissory note and did not know why Gonzalez and "Matthew" left the original document with her.

Hughart stated that she did not receive any monthly dividend report statements or checks for her investment and conducted her own internet queries in reference to Blue Ocean. Hughart claimed that her internet queries indicated that the company had been closed due to bankruptcy. (Your Affiants' research has revealed no such Bankruptcy proceeding for Blue Ocean. On the contrary Blue Ocean's primary creditor, the landlord for the Boca Raton Office, is still attempting to collect back rent through a collection company.") Hughart advised that she made numerous calls to Gonzalez's cell phone over several months following the signing of the promissory note to check her account status but the calls were not returned. In January 2014, Hughart stated that she sent Gonzalez an email requesting a telephone call to discuss the status of her Blue Ocean account and was contacted by Gonzalez a short time later. Hughart stated that she confronted Gonzalez about the information that Blue Ocean was bankrupt and was told by Gonzalez that "it was a mistake". Hughart further stated that Gonzalez told her that she had received a dividend check for Hughart and would be mailing it out to her soon. Hughart claimed that she never received any dividend checks, interest payments or repayment of the principal from the \$50,000.00 Blue Ocean LLC investment and routinely attempted to contact Gonzalez via email or Gonzalez's cellular phone number for the next several weeks without success. Hughart also said that she gave up trying to contact Gonzalez via cell phone when she called her one day and was advised that the telephone number had been disconnected. Hughart further stated that Gonzalez has not contacted her since their last telephone conversation in early 2014.

4. Florence Nigro

Florence Nigro ("Nigro") is an 86 year-old retiree living in Boca Raton, Florida. On Tuesday, May 3, 2016, your affiants met with Florence Nigro at her daughter's residence located at 8256 E. Club Road, Boca Raton, FL in reference to her knowledge of Blue Ocean Farm Inc. (BOF). Nigro had previously identified herself to the Palm Beach County Sheriff's Office (PBSO) and OFR as a potential victim of grand theft and securities fraud, further alleging that BOF and a subject identified as Rebecca Gonzalez unlawfully solicited approximately \$20,000.00 in securities investments from her in 2013. Nigro gave a statement in reference to her allegations involving BOF, Gonzalez, and several of Gonzalez's associates who were suspected of securities fraud. A summary of the Nigro's statements is as follows:

Nigro stated that she was introduced to Gonzalez at a David Lerner and Associates financial planning seminar a couple of years prior to 2013. Nigro described Gonzalez as a white female with dark hair who was approximately 35 to 40 years of age. Nigro stated that Gonzalez was an employee of Lerner and Associates at the time, and had been assigned to her as a financial

advisor on several occasions by the firm. Nigro further stated that Gonzalez routinely met with her and numerous other senior citizens at their residences and had developed a reputation as a trusted financial advisor who made house calls to better assist elderly clients. Nigro stated that Gonzalez usually responded quickly to calls to her cell phone number and claimed to be out in the neighborhood meeting with other senior citizen clients whenever Nigro called her. Nigro said that she believed that Gonzalez was a licensed securities trader who either worked for Lerner and Associates or worked for another licensed firm located at 7777 Glades Road in Boca Raton, FL. Nigro stated that Gonzalez told her that she was working part time at the Glades Road office and would probably be transferring to that firm on a full time basis sometime in the future. Nigro claimed that she always contacted Gonzalez via her cell phone number and never physically went to the Glades Road office. Nigro stated that Gonzalez brought another woman to her home on one occasion that was introduced as her partner and who wanted to solicit annuities investments from Nigro. Nigro said that she did not remember the other woman's name and told her that she was not interested in annuities investment opportunities. Nigro described the unknown subject as being a white female in her 40's with blonde hair.

Nigro stated that she made a \$20,000.00 investment in August 2013 that Gonzalez solicited from her at Nigro's home located at 8512 Via Serena, Boca Raton, FL. Nigro further stated that Gonzalez and a white male subject that Gonzalez introduced as "Matthew" or "Matt" came to her house in early August 2013, to solicit an investment in a Fish Farm business called "Blue Ocean". Nigro described "Matthew" as a white male between 25 to 30 years of age, with brown hair. Nigro claimed that Gonzalez did most of the talking and "Matthew" had asked to take a look at Nigro's personal computer and volunteered to check it for any viruses that would slow down the computer's performance. Nigro said that she complied with "Matthew's" request and gave him access to it while she and Gonzalez were talking. Nigro also said that "Matthew" asked her if she had done any investment trading with "Fidelity" but she did not pay too much attention to the question at the time. Nigro stated that Gonzalez and "Matthew" made the claim "when this thing takes off, whoever invests in it will be millionaires". Nigro further stated that Gonzalez did not provide her with any brochures, company website links or other information about the Blue Ocean Farm investment but claimed that it had a 6% interest return and was safe with low or no risk. Nigro said that she trusted Gonzalez because she had made money for her in the past and believed that Gonzalez cared enough about senior citizens to visit them in their homes to help them with the investment process. Nigro did not make any payments for the Blue Ocean Farm investment on that day but received several phone calls over the next several days from Gonzalez asking if she was still interested in the investment opportunity.

On August 27, 2013, Nigro stated that she decided to invest in the Blue Ocean Farm opportunity and arranged for Gonzalez to accept her \$20,000.00 check for the securities investment. Nigro said that Gonzalez came over to her house and told her that the \$20,000.00 investment would yield 6% interest per year with repayment of the principal in three years. Your co-affiant showed Nigro a copy of a Chase Bank check #3822 from the Nigro Family Trust account ending in [REDACTED] for \$20,000.00 dated August 27, 2013. Nigro acknowledged that it was a copy of the check that she gave to Gonzalez on that date. Nigro stated that she had written in the amount and signed

her name in the signature block. Nigro claimed that Gonzalez wrote the name "Blue Ocean Farm LLC" in the payee block and wrote "Investment" in the memo block. Nigro stated that Gonzalez also had some other documents related to the investment that she worked on during their meeting but Gonzalez did not tell Nigro what they were about so she did not pay any attention to them at the time.

A few weeks later, Nigro stated that she received a check for approximately \$300.00 from Gonzalez that she believed was an interest payment but did not receive any investment earning statements, further interest payments or repayment of her principal from that day forward. Nigro further stated that she contacted Gonzalez by telephone several days later and advised her that she had changed her mind and did not want to continue with the Blue Ocean Farm investment. Nigro claimed that Gonzalez told her "I will see what I can do" but Gonzalez did not contact her again after that telephone conversation.

Nigro claimed that she attempted to contact Gonzalez on numerous occasions via telephone and email over the next several months without getting any response. Nigro stated that she reported her allegations of securities fraud and grand theft by Gonzalez to PBSO detectives in early 2014. Nigro further stated that PBSO detectives advised her that they had reviewed the facts of the case and would consider it as a civil dispute unless further investigative leads were developed to support criminal charges. (PBSO Report 14-046217). Nigro said she contacted her grandson Benjamin P. Nigro, who was an attorney and requested him to assist her with filing civil actions against Gonzalez and BOF. Nigro stated that Benjamin Nigro was able to contact Gonzalez and reach an agreement where Nigro stated that she was repaid approximately \$15,000.00 of her original \$20,000.00 principal by Gonzalez over the next several months. (Court records also show that Nigro was awarded \$9,500 in a civil judgment entered against BOF/Gonzalez on June 16, 2015 in Broward County Case Number 50-2014-CA-006011XXXMB.) Nigro further stated that she has not been contacted by Gonzalez since the final repayment of her settlement with Nigro and no civil case was filed against Gonzalez.

At the conclusion of the interview, SA Demetrios Thomas responded to Nigro's residence and administered two separate photo arrays with images of Rebeca Gonzalez and Matthew Braun respectively. Nigro was unable to make a positive identification of either target that was alleged as being involved with the solicitation of the BOF investment. (It should be noted that Nigro had just been released from the hospital for a significant medical condition at the time the photo array was administered.)

5. Laura Richman (Deceased)

Laura Richman (DOB: 07/16/1944) is deceased and lived in Sunrise, Florida. On Monday, January 30, 2017, your affiants conducted an investigative query with the Clerk of the Courts website for 17th Judicial Circuit in and for Broward County, Florida. The query was in reference to a report of a civil lawsuit that had been filed against Blue Ocean Farms Limited Liability Company (BOF) of South Dakota by the living relatives of Laura Richman. Richman had been

identified by OFR as a potential victim of securities fraud through the analysis of previously subpoenaed banking records and by copies of several 17th Judicial Circuit court records that had been served to CORP 95, the registered agent for both BOF and Century Partners Limited Liability Company d/b/a Focused Asset Management Group. CORP 95 provided the 17th Judicial Circuit court documents to your affiant pursuant to a Subpoena Duces Tecum. The results of the OFR online query, as confirmed by the Subpoena Duces Tecum to CORP 95, are as follows:

The 17th Judicial Circuit Probate Division case #PRC-16-00011227 Notice of Trust identified Laura A. Richman as a grantor of the Richman Family Revocable Living Trust and further identified Richman as being deceased on November 3, 2015.

The 17th Judicial Circuit case #CACA-16-02145 filed on November 22, 2016 identified Dina Richman and Deborah Richman as Plaintiffs in a civil law suit against BOF of South Dakota. A copy of a Promissory Note issued by BOF to Laura Richman for approximately \$100,000.00 with a 6% rate of interest per annum had been attached to the court documents. The promissory note further indicated that the principal and interest would be repaid by the BOF to Laura Richman after a three year period from the date of issuance (October 13, 2015). The name "Laura Richman" appeared in the Maker signature block and "Matt Braun of 6860 Gulfport Blvd S. St. Petersburg, FL 33707" appeared in the Acceptance by Holder signature block of the BOF promissory note.

The 17th Judicial Circuit case #CACA-16-02145 Summons and Affidavit of Service documents indicated that an effort to serve BOF with the court summons at 110 E. Center St, Suite 2053, Madison, SD 57042 found the address to be a mailbox store called "MyDakotaAdress.com" and not a physical address for the business.

The 17th Judicial Circuit case #CACA-16-02145 Motion for Entry of Default Final Judgement documents indicated that BOF failed to file an answer or other pleading after the service of a court summons and the Plaintiffs Dina and Deborah Richman were seeking a Default Final Judgement of the amount of \$100,000.00 plus pre-judgement interest against BOF.

Your affiant conducted a comparison of South Dakota and St. Petersburg addresses listed on the copy of the BOF promissory note with principal business addresses that were known to have been used by the subjects in the incorporation bank application documents for BOF affiliated companies. The 110 E. Center St, Suite 2053, Madison, SD 57042 address was found to be identical to the address of a principal business for the South Dakota corporate registration documents for Century Partners LLC d/b/a Focused Asset Management Group (FAMG), Fidelity Investments FAMG trading account application, and the BOF Wells Fargo business account applications. The 6860 Gulfport Blvd S., St. Petersburg, FL 33707 street address and zip code was found to be the same used for Florida Department of State Division of Corporations registration documents for Blue Ocean Farms Incorporated (Inc.). The Blue Ocean Farms Inc. address appeared on the Florida corporate registration documents as "6860 Gulfport BLVD, 163, South Pasadena, FL 33707" and appeared to be a private post office box located at a United

Parcel Service (UPS) store in South Pasadena, FL. No additional significant information was obtained during the review of the 17th Judicial Circuit documents.

6. Interview of Deborah Richman (Laura Richman's daughter)

On Tuesday, January 31, 2017, your affiant contacted Deborah Richman via telephone in reference to her knowledge of an alleged unlawful securities investment that was solicited from her deceased mother, Laura Richman, in October 2013 by unknown corporate officers or employees of Blue Ocean Farms Limited Liability Company (LLC). Laura Richman had been identified as a possible victim of an estimated \$173,000.00 in fraudulent securities investments through the analysis of banking records from Blue Ocean Farms LLC (BOF) and Century Partners LLC d/b/a Focused Asset Management Group (FAMG) and online copies of 17th Judicial Circuit Court documents that identified BOF as a defendant of a civil suit filed by the Richman family. Deborah Richman advised your affiant the following information in reference to Laura Richman's involvement with BOF:

Laura Richman's family believed that she had been suffering from a brain tumor for several months prior to her death in November 2015. Per Deborah Richman, Laura Richman did not advise her family of her serious medical condition and family members learned of her medical issues from her healthcare providers after her death. Laura Richman was described by her daughter Deborah as a very "business-savvy" person who thoroughly reviewed business documents and conducted extensive online research on companies prior to making investment decisions. Deborah Richman believed that her mother may have suffered some kind of physical or mental impairment at the time of her purchase of the BOF promissory note in late 2013.

Per Deborah Richman, none of the Richman family members were aware of the BOF promissory note for approximately \$100,000.00 until several weeks after Laura Richman's death when the family responded from Pennsylvania to Sunrise, Florida to coordinate the arrangements for the disposal of Laura Richman's personal effects and properties. The Richman family members discovered a copy of the BOF promissory note and made several attempts to contact BOF representatives without success. The Richman family also hired a private investigator to assist them in contacting BOF in South Dakota and initiated civil lawsuit proceedings in the 17th Judicial Circuit in Broward County, Florida when it was determined that the physical business address in South Dakota was likely to be a mail drop.

Deborah Richman and other family members discovered several other Equity Trust Company (ETC) records that documented a wire transfer of approximate \$100,000.00 from Laura Richman's self-directed ETC retirement account to BOF dated October 15, 2013 while the family was organizing the victim's personal effects following her death. Copies of these records were provided to your Affiants and entered into related items.

Deborah Richman's family members were not aware of any additional investment contributions made to Blue Ocean Farms or Focused Asset Management Group by Laura Richman or names of the person or persons who solicited the contribution that had been transferred from Laura

Richman's ETC retirement account to the Blue Ocean Farm LLC Wells Fargo account# ending in [REDACTED]

At the conclusion of the telephone conversation, Deborah Richman provided an electronic copy of the ETC records that documented Laura Richman's funds transfer application for the investment contribution of approximately \$100,000.00 to be paid to Blue Ocean Farms LLC that was dated October 15, 2013.

7. Interview of Mary Hall (Christine Hall's daughter)

Hall is a 63 year old former Human Resources specialist who currently resides in St. Lucie County, Florida. On Wednesday, February 21, 2018, your affiants met with Mary Hall at her residence located at 1994 SW Guernsey Street, Port St. Lucie, FL in reference to her knowledge of Blue Ocean Farm LLC (BOF). Hall and her mother, Christine Hall (deceased in 2016), were identified as possible securities investors during an analysis of certified BOF Well Fargo Bank financials. Hall showed your affiant several financial documents and a voided check that she claimed were provided to Gonzalez in 2014 and 2015 as payments for BOF securities investment opportunities. Your affiant made electronic copies of the financial documents and voided check for the FDLE case file and returned the original copies of the items to Hall. At approximately 1142 hours, Hall provided a voluntary sworn interview in reference to her allegations involving BOF, Gonzalez, and several of Gonzalez's associates who were suspected of securities fraud. A summary of the Hall's sworn recorded interview is as follows:

Hall has an adult daughter with special needs and moved in with her parents several years ago so that they could further assist with their granddaughter's care. Hall's parents were some of the first homeowners in the Port St. Lucie development where she currently resides and were familiar with several of their neighbors to include Yvonne Broestler who lives on the next street to the east (SW Fanfare Street). Hall's parents regularly socialized with Broestler over the years and considered her to be a very close family friend. In 2011, Hall's father passed away and Hall's mother began to visit Broestler at her residence on daily basis. In 2012, Broestler invited Hall and her mother to her home and introduced them to Rebeca Gonzalez. Gonzalez identified herself during the meeting as a financial advisor and solicited several annuities opportunities to Hall and her mother. Hall was a co-signor on several of her mother's bank accounts and issued several checks to Gonzalez to purchase annuities at her mother's request. Gonzalez developed a close personal relationship with Hall and her mother over the next several years and routinely visited their home for social occasions.

In 2014, Hall had been employed by Walmart in the Human Resources department for several years and earned what she considered to be a significant amount of money in a 401K retirement account. Gonzalez approached Hall and inquired about Hall's 401K retirement account. Gonzalez solicited Hall to invest a portion of her Walmart 401K retirement account with a company called "Blue Ocean Farm" but did not give any specific details about the company or how the company intended to pay back the principal and any interest accrued from Hall's investment contributions. Hall claimed that she trusted Gonzalez's abilities as a financial advisor due to her mother's previous experience with annuities investments with Gonzalez and the friendship that Gonzalez established with the Hall family over the past several years. Hall also claimed that Broestler was not involved in any of the BOF securities investment solicitations but had occasionally assisted Gonzalez with the solicitation of annuities purchases to Hall's mother. Hall stated that she

considered Gonzalez's offer to re-invest her 401K monies into BOF and agreed to withdraw monies from her retirement account to make an initial investment contribution in October 2014. Hall stated that she issued a check (#283) to Blue Ocean LLC from her Chase Bank account ending in ... [REDACTED] on October 13, 2014 for the amount of \$10,000.00. Hall further stated that she made a subsequent investment contribution to BOF on October 30, 2014 when she issued a check (#288) in the amount of \$15,040.00 from the same Chase Bank account to BOF and provided the check to Gonzalez. Hall said that Gonzalez did not provide her with any receipts, financial statements or convertible promissory notes for the investment contribution checks. Hall stated that Gonzalez returned Hall's check for \$15,040.00 several days later and informed Hall that BOF's bank did not accept the check for unknown reasons. Hall further stated that Gonzalez wrote the "VOID" on the front and back of the check before giving it back to her. Hall said that Gonzalez specifically requested Hall to issue several checks to BOF totaling \$15,040.00 but wanted the check amounts to be written in smaller increments than \$5,000.00 each. Hall stated that she issued four (4) additional checks (#289, #290, #291 and #292) totaling \$15,040.00 to BOF and provided them to Gonzalez on October 31, 2014. Hall said that Gonzalez did not provide any documentation of her receipt of the checks from Hall or any written repayment conditions for Hall's investment contributions made to BOF to date.

In November 2014, Hall stated that Gonzalez solicited her mother to invest in BOF by using monies from previously purchased annuities and from some money that Hall's mother had inherited from her deceased husband. Hall further stated that she issued three (3) checks to BOF for \$4,000.00 each for the purchase of additional BOF securities investments at her mother's request. Hall said that the checks were issued from the joint PNC Bank account of Christine Hall and Mary V. Hall ending in ... [REDACTED] dated November 22, 2014 (#1184) and November 24, 2014 (#1186 and #1187). Hall stated that Gonzalez did not provide any documentation of her receipt of the PNC Bank checks from Hall or any written repayment conditions for Hall's investment contributions made to BOF to date. Hall stated that Gonzalez made an unannounced visit to her work place in early 2015 and provided her with a plain envelope containing approximately \$900.00 in cash. Hall claimed that Gonzalez told her that the money was a return on Hall's investments with BOF but did not provide Hall with any written documentation on how the investment money was earned or a receipt for the payment to Hall. Hall stated that Gonzalez told her to take the cash and to write a check for \$1,000.00 if she wanted to re-invest the monies to purchase additional BOF securities investments. Hall further stated that she took the \$900.00 in cash and considered Gonzalez's offer over the next several days. Hall claimed that she had a three way telephone conversation with Gonzalez and a person named "Matthew Braun" following the receipt of the cash from Gonzalez. Hall said that Gonzalez introduced Braun as the head person at BOF during the telephone conversation and as a very good friend of Gonzalez but neither person provided Hall with any specific details about BOF. Hall stated that she later issued a PNC Bank check (#1006) from her own account ending in ... [REDACTED] in the amount of \$1,000.00 to Matthew Braun per Gonzalez and Braun's instructions during the telephone conversation. Hall said that she dated the check for February 3, 2015, and provided it to Gonzalez at approximately the same time period. Hall stated that Gonzalez did not provide any documentation of her receipt of the PNC Bank check written to Braun from Hall or any written repayment conditions for Hall's investment contributions made to BOF to date.

Hall stated that she did not inquire with Gonzalez about her BOF investment contributions until her mother's health started to deteriorate several months following the issuance of the \$1,000.00 check to Braun. Hall said that she had been too busy with her job and providing care to her mother and daughter to take the time to ask Gonzalez the status of her and her mother's investment

contributions. Hall stated that she had to take time off work to become a full time caregiver for her family and needed money to support the household. Hall further stated that she attempted to contact Gonzalez by telephone to request some of their BOF investment monies but Gonzalez never returned her calls. Hall said that several of her relatives began to express their concerns about the lack of documentation from BOF in reference to the securities investments that Hall had purchased from Gonzalez. Hall also said that she began to initiate her own investigative inquiries into BOF but was unable to obtain specific information about the company.

Hall stated that she reported her allegations of fraud against Gonzalez and BOF to the Port St. Lucie Police Department (PSLPD) several days after her mother's death in April 2016. Per Hall, PSLPD officers documented her complaint on a police report and she was later contacted by PSLPD detectives. Hall said the PSLPD detective assigned to the case informed her that there was insufficient probable cause to file a criminal case in St. Lucie County against BOF at that time. Hall stated that she later contacted the Palm Beach County State Attorney Office by telephone and inquired if there had been any criminal complaints in reference to BOF and was told that they had not received any information in reference to BOF at that time. In 2015, OFR sent a letter to Hall's mother requesting information about BOF. Hall stated that she read the OFR letter to her mother but did not discuss it in any detail with her. Hall further stated that she later talked with Broestler about her own suspicions of fraud involving Gonzalez, Braun and BOF. Hall said that Broestler told her that "Rebeca must have pissed somebody off" and that Hall should shred the OFR letter. Hall claimed that Broestler told her that she had also lost money with BOF but Braun had absolutely nothing to do with any fraud scam. Hall said that Broestler advised her that she had been currently working for Braun as an assistant at another Pt. St. Lucie business and asked Hall not to contact Braun about BOF because he was seriously ill at the time. Hall stated that she followed Broestler's advice and shredded the OFR letter and did not attempt to contact Braun. Hall further stated that she had never met Braun in person.

FINANCIAL RECORDS

Your Affiants reviewed several certified copies of financial records from Fidelity Investments, Wells Fargo Bank, Bank of America and Regions Bank that were found to be associated with Braun, Creamer, and Gonzalez. A summary of the analysis of the banking records is as follows:

Fidelity Investment account ending in [REDACTED]

Certified account records from Fidelity Investments indicated that Matthew Braun opened an online trading brokerage account number ending in [REDACTED] on February 7, 2013. The account was titled in the name of Focused Asset Management Group ("FAMG") and Braun was the sole authorized signer of this account. Records were reviewed for the time-period of March 2013 through March 2015. It is Fidelity policy to ensure that all applicants produce valid photo ID to open an account. Fidelity could not confirm whether or not the ID was photocopied. The copy of Braun's ID was not in the certified records received by OFR subpoena.

Braun is alleged as submitting the trading account application to Fidelity Investments claiming that FAMG was an investment consulting business to be operated in Madison, South Dakota at 110 East Center Street, #2053. Certified business records received from Fidelity Investments in response to OSP Subpoena Duces Tecum #3881 indicated that FAMG application for account

██████████ had been downloaded as a blank form and subsequently submitted in person to the Fidelity Investments Boca Raton Branch Office located at 1400 Glades Rd #180, Boca Raton, Florida 33431 on February 8, 2013. Per Fidelity Investments Senior Legal Analyst Summana Abdul-Hasib, in person trading application submissions require photo identification to be accepted. Braun was the sole applicant recorded on the Fidelity Investments documents. The Madison, South Dakota address of 110 East Center Street, #2053 used on the application was found to be a private post office box at the Dakota International Services LLC. Braun was listed as an employee of FAMG. South Dakota Secretary of State, Division of Corporations incorporation documents for Century Partners/FAMG list Braun as the sole corporate officer for the company. The application showed that FAMG claimed an annual income of \$100,000.00 or more, had an estimated net worth between \$100,001.00 and \$500,000.00, and had an estimated Liquid Net Worth between \$15,000.00 and \$50,000.00 on the date of the application submission. CORP 95 sales records for Century Partners/FAMG indicated that the company was sold to Braun as a shelf company and did not have a documented record of business earnings prior to the sale to Braun in January 2013. The application also showed that the legal permanent address was in South Dakota but listed a West Palm Beach, Florida telephone of (561) 285-1185 as FAMG's daytime telephone number.

An analysis of account # ██████████ revealed that monies from investor's Carmine Della Rocca ("Della Rocca"), Steven Ringer ("Ringer") and Marian Hughart ("Hughart") were deposited into this account as follows:

• 03/19/2013	Carmine Della Rocca	\$100,000	Wire
• 04/26/2013	Carmine Della Rocca	\$10,000	Check #1001
• 04/26/2013	Steven Ringer	\$15,000	Check #1923
• 06/17/2013	Marian Hughart	<u>\$50,000</u>	Check #511
		\$175,000	

The account records showed that after the investors' monies were credited to account # ██████████ monies were wired out to accounts that Creamer, Gonzalez and Braun controlled, to include Onyx Financial Life Inc., (Gonzalez); Blue Ocean Technology Inc. formerly known as Atlantic Pacific Export Inc. (2006-2007), Michael Gnagey Landscaping Services Inc. (2007-2013) (Creamer); GC Displays Inc. (2007-2017) (Creamer), and the personal banking accounts of Gonzalez and Braun. The account records also showed that Braun comingled investors' funds in this trading account and conducted unprofitable trading unbeknownst to investors. Although some of the trades Braun placed realized short-term gains, the majority of trades were unprofitable and substantial losses were incurred. Based on your Affiants' training and experience, and within context of this investigation, Braun used victims' investment contributions for numerous high risk security trades which ultimately resulted in the victims' money being lost. None of the expenditures documented in the Fidelity trading account statements appeared to have any reasonable benefit to the operation of an aquaculture business such as purchases related to real estate, commercial aquaculture equipment, labor or professional licensing fees in South Dakota or Florida.

Well Fargo Bank accounts ending in ██████████

Your Affiants reviewed certified records from Wells Fargo account numbers ending in ██████████ (primary business account) and ██████████ (business savings account) for the period of July 2013

through April 2015. The records showed that Michael Creamer opened the accounts on July 3, 2013, in the name of Blue Ocean Farm, LLC (BOF). The authorized signors on the BOF accounts were Michael Creamer, Rebeca Gonzalez and Matthew Braun. A summary of the analysis of the banking records is as follows:

Creamer is alleged as submitting the information used for the establishment of business checking and savings accounts application to Wells Fargo Bank via proxy when he purchased the shelf company for CORP 95. The original BOF Wells Fargo Bank accounts were established at the time of the sale of the CORP 95 shelf company to Creamer at the Dana Point, California Wells Fargo Branch which is in close proximity to the California office of CORP 95. The application information claimed that BOF was a "Professional, Scientific, and Technical" consulting business to be operated in Madison, South Dakota at 110 East Center Street, #2053. The Madison, South Dakota address of 110 East Center Street, #2053 used in the application was found to be a private post office box at the Dakota International Services LLC and Creamer and the other account signatories (Braun and Gonzalez) are alleged as not actually conducting any aquaculture business activities in South Dakota. The application information also claimed that the BOF annual gross sales for the business in 2012 were \$300,000.00. The CORP 95 sales records for BOF indicated that the company was sold to Creamer as a shelf company and did not have a documented record of business earnings prior to the sale to Creamer in June 2013.

Creamer's name is the only BOF corporate officer and account signatory to appear in Owner/Key Individual 1 portion of the Wells Fargo Bank application. Creamer is listed in the position of manager and his own Florida driver's license number (C656-550-69-248-0), social security number and date of birth is listed in the Owner/Key Individual 1 portion of the account application. The telephone number (727) 573-7733 was listed as a daytime business telephone number for BOF in South Dakota. Certified records from Voipo Communications identify the subscriber as Michael Creamer with a billing address in Largo, Florida.

On May 8, 2014, a Wells Fargo Bank Addendum to Certificate of Authority was submitted and Creamer was removed as an authorized signatory for the accounts. The main branch for the accounts was also changed to the Town Center Plaza store in Boca Raton, Florida. Matthew Braun is alleged as submitting the addendum documents and claiming to hold the position of manager in the Owner/Key Individual portion of the addendum form.

Investment monies from investor's Florence Nigro ("Nigro") Laura Richman ("Richman") and Mary V. Hall ("Hall") were deposited into account # [REDACTED] as follows:

- | | | | |
|--|---------------------------------|-----------------|-------------|
| • 09/03/2013 | Nigro Family Trust | \$20,000* | Check #3822 |
| (*Nigro reported that approximately \$15,000 had been refunded to her by Gonzalez) | | | |
| • 09/03/2013 | Richman Family Rev Living Trust | \$25,000 | Check #1042 |
| • 11/14/2013 | Laura Richman | \$100,000 | Wire |
| • 07/11/2014 | Richman Family Rev Living Trust | <u>\$48,000</u> | Check #359 |
| | | \$193,000 | |

• 10/14/2014	Mary V. Hall	\$10,000	Check #283
• 10/31/2014	Mary V. Hall	\$4,500	Check #289
• 10/31/2014	Mary V. Hall	\$4,500	Check #290
• 10/31/2014	Mary V. Hall	\$3,040	Check #291
• 10/31/2014	Mary V. Hall	\$3,000	Check #292
• 11/22/2014	Christine Hall and Mary V. Hall	\$4,000	Check #1184
• 11/24/2014	Christine Hall and Mary V. Hall	\$4,000	Check #1186
• 11/24/2014	Christine Hall and Mary V. Hall	<u>\$4,000</u>	Check #1187
		\$37,040	

Well Fargo Bank account ending in [REDACTED]

No investor monies were found to have been directly deposited into account # [REDACTED] but there were numerous incidents where investor monies were found to have been electronically transferred between [REDACTED] (primary business account) and [REDACTED] (business savings account). After Nigro and Richman's investment monies were credited to account [REDACTED] on September 3, 2013, Gonzalez allegedly withdrew \$5,000 on September 4, 2013, and \$1,700 on September 23, 2013; and on September 5, 2013, \$38,000 was transferred to Wells Fargo account number ending in [REDACTED]. After Richman's investment monies were credited to account # [REDACTED] in November 2013 and July 2014, Creamer, Gonzalez and Braun made numerous cash withdrawals and various check card purchases were transacted. Purchases included retail merchandise both online and in store, fast food restaurant purchases, Florida Driver's License renewal fees, fuel and rental car purchases and online stock trading fees which all appeared to be for personal use. None of the expenditures documented in the Wells Fargo Bank account statements appeared to have any reasonable benefit to the operation of an aquaculture business such as purchases related to real estate, commercial aquaculture equipment, labor or professional licensing fees in South Dakota or Florida.

Regions Bank account ending in [REDACTED]

Your Affiants reviewed certified records from Regions Bank account number ending in [REDACTED] for the period of January 23, 2012 through November 15, 2015. The records showed that Michael Creamer opened the account on May 25, 2006, in the name of Michael Gnagey Landscaping Services Inc. Michael Creamer is the sole authorized signer on the account. On April 24, 2013, Creamer changed the account's name from Michael Gnagey Landscaping Services, Inc., to Blue Ocean Technology.

An analysis of account [REDACTED] showed a wire transfer on March 20, 2013, from Focused Asset Management Group for \$85,000. On July 15, 2013, two checks were written from account [REDACTED] to Blue Ocean Farm for \$1,000 and \$19,000 and on December 3, 2013, a check was written to Blue Ocean Farm for \$50,000. All three checks appeared to have been deposited via branch

deposit but none were endorsed by any of the signatory account holders. The deposit slips for all three checks were submitted in the name Blue Ocean Farm but had no additional information that would indicate the actual identity of the person who deposited each individual check.

COMINGLING OF INVESTORS' MONIES BY CREAMER, BRAUN AND GONZALEZ

On January 28, 2013, the Onyx Financial Life Inc., (OFL) Bank of America business account ending in [REDACTED] and associated Visa business checking card ending in [REDACTED] (controlled by Gonzalez) were used to purchase a South Dakota registered shelf company called Century Partners LLC from CORP 95 for \$1,200.00. Century Partners LLC was later renamed Focused Asset Management Group LLC following the purchase by Matthew Braun and OFL owner Rebeca Gonzalez on January 10, 2013.

On March 20, 2013, approximately \$85,000.00 was wired from the Focused Asset Management Group (FAMG) Fidelity trading account ending in [REDACTED] (controlled by Braun) to the Blue Ocean Technology Inc., (BOT) Regions Bank account ending in [REDACTED] (controlled by Creamer). The March 20, 2013 wire transfer was also found to be subsequent to a wire transfer of approximately \$100,000.00 from investor Carmine Della Rocca's Fidelity retirement account into the FAMG trading account ending in [REDACTED] on March 19, 2013. On the same date, the OFL Bank of America business account ending in [REDACTED] (controlled by Gonzalez) received a wire transfer of approximately \$5,955.00 from the FAMG Fidelity trading account ending in [REDACTED]. No additional significant funds transferred between the Florida OFL account and the South Dakota Focused Asset Management Group (FAMG) Fidelity trading account or the Blue Ocean Farms LLC Wells Fargo business accounts were found.

On July 15, 2013, two checks (#1063 and #1064) totaling approximately \$20,000.00 were issued from the BOT Regions account ending in [REDACTED] and deposited into the Blue Ocean Farms LLC (South Dakota) Wells Fargo business accounts ending in [REDACTED] and [REDACTED] (controlled by Creamer, Braun and Gonzalez). On December 3, 2013, a check (#1121) for \$50,000.00 was issued from the BOT Regions account ending in [REDACTED] and deposited into Blue Ocean Farms LLC (South Dakota) Wells Fargo business account ending in [REDACTED]. No additional significant funds transferred between the Florida BOT account and the South Dakota the Focused Asset Management Group (FAMG) Fidelity trading account and Blue Ocean Farms LLC Wells Fargo business accounts were found.

On December 4, 2013, two payments totaling approximately \$50,238.00 were paid to GC Displays Inc. (controlled by Creamer), by the Blue Ocean Farms LLC (South Dakota) Wells Fargo business account ending in [REDACTED] via the On-line Bill Pay service. The electronic payment was approximately one day subsequent to a check deposit of approximately \$50,000.00 to Blue Ocean Farms LLC (South Dakota) Wells Fargo business account ending in [REDACTED] that was issued by Blue Ocean Technology Inc., Regions Bank account ending in [REDACTED]. No additional significant funds transferred between the Florida GC Displays Inc., account and the South Dakota Focused

Asset Management Group (FAMG) Fidelity trading account and Blue Ocean Farms LLC Wells Fargo business accounts were found.

On October 15, 2014, an Electronic Funds Transfer (EFT) in the amount of \$3,460.00 from the BOF Wells Fargo Bank account ending in [REDACTED] was transferred to a personal Wells Fargo Bank checking account where Braun was sole signatory. On October 16, 2014, a subsequent EFT in the amount of \$550.00 was transferred to another personal Wells Fargo Bank checking account controlled by Braun.

On November 3, 2014, three (3) EFT payments from the BOF Wells Fargo Bank account ending in [REDACTED] and totaling approximately \$3,200.00 were transferred to personal Wells Fargo Bank checking accounts that were controlled by Braun.

On November 25, 2014, an Electronic Funds Transfer (EFT) in the amount of \$2,380.00 from the BOF Wells Fargo Bank account ending in [REDACTED] was transferred to a personal Wells Fargo Bank checking account controlled by Braun. On November 28, 2014, three (3) EFT payments from the BOF Wells Fargo Bank account ending in [REDACTED] and totaling approximately \$4,395.00 were transferred to personal Wells Fargo Bank checking accounts that were controlled by Braun.

No fish farm ever existed and the monies deposited into the Blue Ocean accounts were subsequently used to make personal purchases. Examples of personal purchases include restaurants, Target, Home Depot, CVS, Walmart, hotel stays, SAMS Club, Publix, rental cars and other such purchases.

SUMMARY

Your Affiants have reviewed the facts of the case and allege that Braun, Creamer and Gonzalez knowingly conspired to establish shell companies in South Dakota and Florida to facilitate the sale of unlicensed fraudulent securities investments to elderly victims who resided in Florida. All of their victims except Mary Hall (age 60) were over the age of 65 at the time of the unlicensed security investment solicitations that totaled approximately \$410,040.00 during the period of March 2013 through November 2014. Mary Hall's mother Christine Hall was over the age of 65, a co-signatory on several PNC Bank accounts used to pay for BOF unlicensed securities investments and was present with her daughter during several of the alleged in person solicitations made by Gonzalez. Investor Nigro reported that approximately \$15,000.00 had been refunded to her by Gonzalez over period of several months in 2014. Nigro also reported that the money had been refunded to her because she was preparing to initiate civil action against BOF and the payments were not a result of dividend returns on her initial \$20,000.00 investment.

Based on your Affiants' training and experience, and within the context of this investigation, there is probable cause to believe that Braun, Creamer and Gonzalez acted with criminal intent to defraud their "investor" victims in this case. The elderly age group targeted by the defendants,

represented some of the more vulnerable members of our community because of the perceived reluctance by senior citizens to report themselves as victims of fraud scams to law enforcement and their family members. The defendants utilized high-pressure sales tactics, bait and switch tactics, and the unlicensed sale of unregistered securities to induce victims into investing in Blue Ocean Inc., a Florida corporation that this investigation revealed existed for the sole purpose of perpetuating this fraud. Blue Ocean Inc. did not hold any permits or licensure to conduct an aquaculture business in this state. Instead, bank records obtained during this investigation as detailed above, reveal that Braun, Creamer and Gonzalez simply deposited their victims' investment monies and illegally converted the same for personal expenses and use. Further, this investigation has uncovered evidence that Braun, Creamer and Gonzalez engaged in an intricate process of purchasing ready-made "shelf corporations" outside the state of Florida to conceal the source of their illegally obtained monies. The corporate accounts of these "shelf corporations" were utilized in an attempt to legitimize, or launder, these illegally obtained proceeds.

CHARGES

SUBJECT A:

A. FSS 817.034(4)(a)1: ORGANIZED SCHEME TO DEFRAUD OVER \$50,000.00

Because Braun conducted a systematic, ongoing course of conduct with intent to defraud four (4) investor victims and obtained over \$217,040.00 in investor contributions by fraudulently representing himself to his victims as a licensed securities trader and corporate officer of several shell companies that were represented to the same as legitimate aquaculture businesses, your Affiants are seeking a charge of one (1) count of Organized Scheme to Defraud OVER \$50,000.00 against Braun.

B. FSS 517.07(1)(2): REGISTRATION OF SECURITIES

Because Braun sold or offered to sell a security within the state of Florida that was not exempt under s. 517.051, sold in a transaction exempt under s. 517.061, a federal covered security, or registered pursuant to this chapter, Your Affiants are seeking a charge of five (5) counts of Selling Unregistered Securities against Braun.

C. FSS 517.12(1): REGISTRATION OF DEALERS, ASSOCIATED PERSONS, INTERMEDIARIES, AND INVESTMENT ADVISORS

Because Braun was a corporate officer and business bank account signatory for Focused Asset Management Group LLC and Blue Ocean Farm LLC that were not registered in Florida to sell or offer for sale any securities investment stock to investors during the period of the alleged solicitations and sale of the unregistered investment securities to the victims. Focused Asset Management Group LLC and Blue Ocean Farm LLC were solicited as legitimate aquaculture businesses by Braun and Co-defendant Rebecca Gonzalez with the intent to defraud the same and obtained over \$217,040.00 in investor contributions. Neither Braun nor Gonzalez were licensed to trade securities investments or represent themselves as financial advisors in Florida during the time period of the solicitations to the victims. Your Affiants are seeking a charge of one

(1) count of Registration of Dealers, Associated Persons, Intermediaries and Investment Advisors against Braun.

D. FSS 517.302(2) SECURITIES TRANSACTIONS OVER \$50,000.00

Because Braun, Focused Asset Management Group LLC and Blue Ocean Farm LLC were not registered in Florida to sell or offer for sale any securities investment stock to investors during the period of the alleged solicitations and sale of the unregistered investment securities to the victims. Braun fraudulently represented herself to Marian Hughart, Carmine Della Rocca, Steven Ringer as a licensed securities trader and corporate officer of Focused Asset Management Group LLC and Blue Ocean Farm LLC that were solicited as legitimate aquaculture businesses with the intent to defraud the same and obtained over \$217,040.00 in investor contributions. Your Affiants are seeking a charge of five (5) counts of Securities Transactions OVER \$50,000.00 against Braun.

SUBJECT B:

A. FSS 817.034(4)(a)1: ORGANIZED SCHEME TO DEFRAUD OVER \$50,000.00

Because Creamer conducted a systematic, ongoing course of conduct with intent to defraud four (4) investor victims and obtained over \$368,000.00 in investor contributions by fraudulently representing himself to his victims as a corporate officer of several shell companies that were represented to the same as legitimate aquaculture businesses, your Affiants are seeking a charge of one (1) count of Organized Scheme to Defraud OVER \$50,000.00 against Creamer.

B. FSS 517.07(1)(2): REGISTRATION OF SECURITIES

Because Creamer sold or offered to sell a security within the state of Florida that was not exempt under s. 517.051, sold in a transaction exempt under s. 517.061, a federal covered security, or registered pursuant to this chapter. Your Affiants are seeking a charge of five (5) counts of Selling Unregistered Securities against Creamer.

C. FSS 517.12(1): REGISTRATION OF DEALERS, ASSOCIATED PERSONS, INTERMEDIARIES, AND INVESTMENT ADVISORS

Because Creamer was a corporate officer and business bank account signatory for Blue Ocean Farm LLC that was not registered in Florida to sell or offer for sale any securities investment stock to investors during the period of the alleged solicitations and sale of the unregistered investment securities to the victims. Blue Ocean Farm LLC was solicited as legitimate aquaculture business by Co-defendant Rebeca Gonzalez and Co-defendant Matthew Braun with the intent to defraud the same and obtained over \$368,000.00 in investor contributions. Neither Gonzalez nor Braun were licensed to trade securities investments or represent themselves as financial advisors in Florida during the time period of the solicitations to the victims. Your Affiants are seeking a charge of one (1) count of Registration of Dealers, Associated Persons, Intermediaries and Investment Advisors against Creamer.

D. FSS 517.302(2) SECURITIES TRANSACTIONS OVER \$50,000.00

Because Creamer, Focused Asset Management Group LLC and Blue Ocean Farm LLC were not registered in Florida to sell or offer for sale any securities investment stock to investors during the period of the alleged solicitations and sale of the unregistered investment securities to the victims. Gonzalez fraudulently represented herself to Marian Hughart, Carmine Della Rocca, Steven Ringer and Florence Nigro as a licensed securities trader and corporate officer of Focused Asset Management Group LLC and Blue Ocean Farm LLC that were solicited as legitimate aquaculture businesses with the intent to defraud the same and obtained over \$217,040.00 in investor contributions. Your Affiants are seeking a charge of five (5) counts of Securities Transactions OVER \$50,000.00 against Creamer.

SUBJECT C:

A. FSS 817.034(4)(a)1: ORGANIZED SCHEME TO DEFRAUD OVER \$50,000.00

Because Gonzalez conducted a systematic, ongoing course of conduct with intent to defraud four (4) investor victims and obtained over \$368,000.00 in investor contributions by fraudulently representing herself to her victims as a licensed securities trader and corporate officer of several shell companies that were represented to the same as legitimate aquaculture businesses, your Affiants are seeking a charge of one (1) count of Organized Scheme to Defraud OVER \$50,000.00 against Gonzalez.

B. FSS 517.07(1)(2): REGISTRATION OF SECURITIES

Because Gonzalez sold or offered to sell a security within the state of Florida that was not exempt under s. 517.051, sold in a transaction exempt under s. 517.061, a federal covered security, or registered pursuant to this chapter, Your Affiants are seeking a charge of five (5) counts of Selling Unregistered Securities against Gonzalez.

C. FSS 517.12(1): REGISTRATION OF DEALERS, ASSOCIATED PERSONS, INTERMEDIARIES, AND INVESTMENT ADVISORS

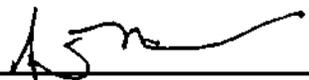
Because Gonzalez was a corporate officer and business bank account signatory for Blue Ocean Farm LLC that was not registered in Florida to sell or offer for sale any securities investment stock to investors during the period of the alleged solicitations and sale of the unregistered investment securities to the victims. Blue Ocean Farm LLC was solicited as legitimate aquaculture business by Gonzalez and Co-defendant Matthew Braun with the intent to defraud the same and obtained over \$368,000.00 in investor contributions. Neither Gonzalez nor Braun were licensed to trade securities investments or represent themselves as financial advisors in Florida during the time period of the solicitations to the victims. Your Affiants are seeking a charge of one (1) count of Registration of Dealers, Associated Persons, Intermediaries and Investment Advisors against Gonzalez.

D. FSS 517.302(2) SECURITIES TRANSACTIONS OVER \$50,000.00

Because Gonzalez, Focused Asset Management Group LLC and Blue Ocean Farm LLC were not registered in Florida to sell or offer for sale any securities investment stock to investors during the period of the alleged solicitations and sale of the unregistered investment securities to the

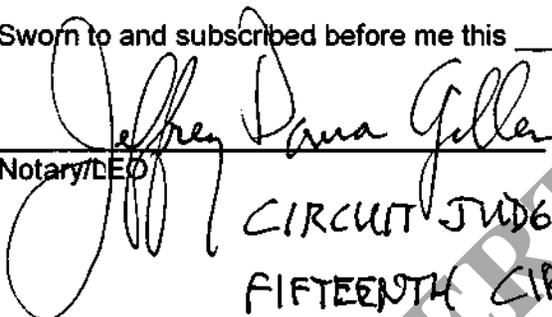
victims. Gonzalez fraudulently represented herself to Marian Hughart, Carmine Della Rocca, Steven Ringer and Florence Nigro as a licensed securities trader and corporate officer of Focused Asset Management Group LLC and Blue Ocean Farm LLC that were solicited as legitimate aquaculture businesses with the intent to defraud the same and obtained over \$217,040.00 in investor contributions. Your Affiants are seeking a charge of five (5) counts of Securities Transactions OVER \$50,000.00 against Gonzalez.

I swear the foregoing statement is correct to be best of my knowledge and belief.

 #959
Antonio Martindale, Special Agent (Affiant)


Joan Kallo, Financial Investigator – Criminal Enforcement (Co-Affiant)

Sworn to and subscribed before me this 15th day of JUNE 2018.


Notary/LEO
CIRCUIT JUDGE
FIFTEENTH CIRCUIT