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COMMONWEALTH OF PENNSYLVANIA 2022 FEB 14 AM 7:56
DEPARTMENT OF BANKING AND SECURITIES

PA DEPARTMENT OF
BANKING AND SECURITIES

COMMONWEALTH OF PENNSYLVANIA	:	
DEPARTMENT OF BANKING AND	:	
SECURITIES, BUREAU OF SECURITIES	:	
COMPLIANCE AND EXAMINATIONS	:	Docket No.: 210034 (SEC-OSC)
	:	
v.	:	
	:	
DANIEL J. REISINGER d/b/a	:	
SAFE INVESTING SERVICES	:	
	:	

NOTICE OF RIGHT TO APPEAL

You have the right to appeal the attached Final Order issued by the Commonwealth of Pennsylvania, Banking and Securities Commission. ("Commission")

If you wish to appeal this Final Order, you may file a petition for review with the Commonwealth Court of Pennsylvania that complies with the format and timing requirements of Chapter 15 of the Pennsylvania Rules of Appellate Procedure. Pa.R.A.P. 1511-1561. Failure to file a petition for review within 30 days of the mailing date of this Order will result in this Final Order becoming final and unappealable. The telephone number for the Commonwealth Court is 717-255-1650.

All Commonwealth Court filings must be made in the Court's filing office in Harrisburg. Filing must be made in person, by mail as provided by general rules, or electronically via the PACFile appellate court electronic filing system. The address of the Court is as follows:

Pennsylvania Judicial Center
601 Commonwealth Ave.
Suite 2100
P.O. Box 69185
Harrisburg, PA 17106

A party may submit a request to the Commission for rehearing or reconsideration no later than fifteen (15) days after the decision mailing date in accordance with section 35.241 of the General Rules of Administrative Practice and Procedure. 1 Pa. Code § 35.241. However, submitting a reconsideration request does not extend the time limit for filing a petition for review with the Commonwealth Court.

You may wish to consult an attorney regarding your legal rights.

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Docket No.: 210034 (SEC-OSC)

v.

DANIEL J. REISINGER d/b/a
SAFE INVESTING SERVICES

FINAL ORDER

AND NOW, upon review of the attached Consent Agreement and Order (“CAO”) proposed by the parties in this matter as a final resolution of litigation, the Pennsylvania Banking and Securities Commission **APPROVES** the CAO as written. Among other things, the CAO calls for Daniel J. Reisinger d/b/a Safe Investing Services to pay an administrative assessment in the total amount of \$25,000, payable in eight (8) quarterly installments of \$3,125.00 each, with the initial installment being due on or before March 30, 2022.

BY ORDER OF THE COMMISSION:

Redacted

Richard Vague
Vice Chair
Pennsylvania Banking and Securities Commission

So ORDERED this 14th day of February 2022

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CONSENT AGREEMENT AND ORDER

The Commonwealth of Pennsylvania, acting through the Department of Banking and Securities ("Department"), Bureau of Securities Compliance and Examinations ("Bureau"), has conducted an investigation of the business practices of Daniel J. Reisinger d/b/a Safe Investing Services ("Reisinger"). Based on the results of its investigation, the Bureau has concluded that Reisinger has operated in violation of the Pennsylvania Securities Act of 1972, 70 P.S. § 1-101 *et seq.* ("1972 Act"). Reisinger, in lieu of litigation, and without admitting or denying the allegations contained herein, and intending to be legally bound, hereby agrees to the terms of this Consent Agreement and Order ("Order").

BACKGROUND

1. The Department is the Commonwealth of Pennsylvania's administrative agency authorized and empowered to administer and enforce the 1972 Act.
2. The Bureau is primarily responsible for administering and enforcing the 1972 Act for the Department.

3. Reisinger was, at all times material herein, an individual with an address at **Redacted** Red

4. From in or about June 2017 to June 2018, Reisinger offered and sold securities (“1 Global Notes”) issued by 1 Global Capital, LLC (“1 Global”) in Pennsylvania.

5. Reisinger received compensation for the sales of the 1 Global Notes issued by 1 Global.

6. The 1 Global Notes were: (a) not registered under Section 201 of the 1972 Act, 70 P.S. § 1-201; (b) not exempt from registration under Section 202 of the 1972 Act, 70 P.S. § 1-202; (c) not federally covered securities under Section 211 of the 1972 Act, 70 P.S. § 1-211; and (d) the securities transactions relating to the 1 Global Notes were not exempt under Section 203 of the 1972 Act, 70 P.S. § 1-203.

7. From in or about June 2016 to December 2016, Reisinger offered and sold securities (“WMIF2 Units”) issued by Woodbridge Mortgage Investment Fund 2, LLC (“WMIF2”) in Pennsylvania.

8. Reisinger received compensation for the sales of the WMIF2 Units issued by WMIF2.

9. The WMIF2 Units were: (a) not registered under Section 201 of the 1972 Act, 70 P.S. § 1-201; (b) not exempt from registration under Section 202 of the 1972 Act, 70 P.S. § 1-202; (c) not federally covered securities under Section 211 of the 1972 Act, 70 P.S. § 1-211; and (d) the securities transactions relating to the WMIF2 Units were not exempt under Section 203 of the 1972 Act, 70 P.S. § 1-203.

10. From in or about September 2016 to October 2016, Reisinger offered and sold securities (“WMIF3 Units”) issued by Woodbridge Mortgage Investment Fund 3, LLC (“WMIF3”) in Pennsylvania.

11. Reisinger received compensation for the sales of the WMIF3 Units issued by WMIF3.

12. The WMIF3 Units were: (a) not registered under Section 201 of the 1972 Act, 70 P.S. § 1-201; (b) not exempt from registration under Section 202 of the 1972 Act, 70 P.S. § 1-202; (c) not federally covered securities under Section 211 of the 1972 Act, 70 P.S. § 1-211; and (d) the securities transactions relating to the WMIF3 Units were not exempt under Section 203 of the 1972 Act, 70 P.S. § 1-203.

13. From in or about May 2016 to April 2017, Reisinger offered and sold securities (“WMIF3A Units”) issued by Woodbridge Mortgage Investment Fund 3A, LLC (“WMIF3A”) in Pennsylvania.

14. Reisinger received compensation for the sales of the WMIF3A Units issued by WMIF3A.

15. The WMIF3A Units were: (a) not registered under Section 201 of the 1972 Act, 70 P.S. § 1-201; (b) not exempt from registration under Section 202 of the 1972 Act, 70 P.S. § 1-202; (c) not federally covered securities under Section 211 of the 1972 Act, 70 P.S. § 1-211; and (d) the securities transactions relating to the WMIF3A Units were not exempt under Section 203 of the 1972 Act, 70 P.S. § 1-203.

16. From in or about February 2017 to August 2017, Reisinger offered and sold securities (“WMIF4 Units”) issued by Woodbridge Mortgage Investment Fund 4, LLC (“WMIF4”) in Pennsylvania.

17. Reisinger received compensation for the sales of the WMIF4 Units issued by WMIF4.

18. The WMIF4 Units were: (a) not registered under Section 201 of the 1972 Act, 70 P.S. § 1-201; (b) not exempt from registration under Section 202 of the 1972 Act, 70 P.S. § 1-202; (c) not federally covered securities under Section 211 of the 1972 Act, 70 P.S. § 1-211; and (d) the securities transactions relating to the WMIF4 Units were not exempt under Section 203 of the 1972 Act, 70 P.S. § 1-203.

19. Reisinger was neither registered pursuant to Section 301 of the 1972 Act, 70 P.S. § 1-301, nor exempt from registration.

VIOLATION

20. By engaging in the acts and conduct set forth in paragraphs 4 through 19 above, Reisinger effected transactions in securities in Pennsylvania while neither registered nor exempt from registration, in wilful violation of Section 301(a) of the 1972 Act, 70 P.S. § 1-301(a).

RELIEF

21. Reisinger shall pay the Department an administrative assessment in the amount of \$25,000.00. Payment shall be made by certified check or money order made payable to the "Department of Banking and Securities" and shall be mailed or delivered in person to the Bureau of Securities Compliance and Examinations located at 17 North Second Street, Suite 1300, Harrisburg, PA 17101.

22. The administrative assessment shall be paid as follows:

- a. \$3,125.00 on or before March 30, 2022;

- b. \$3,125.00 on or before June 30, 2022;
- c. \$3,125.00 on or before September 30, 2022;
- d. \$3,125.00 on or before December 30, 2022;
- e. \$3,125.00 on or before March 30, 2023;
- f. \$3,125.00 on or before June 30, 2023;
- g. \$3,125.00 on or before September 30, 2023; and
- h. \$3,125.00 on or before December 30, 2023.

23. Reisinger is ORDERED to comply with the 1972 Act, and Regulations adopted by the Department, and in particular Section 301 of the 1972 Act, 70 P.S. § 1-301.

24. Should Reisinger fail to pay the administrative assessment as set forth in paragraphs 21 and 22 above, the sanctions set forth elsewhere in the Order shall continue in full force and effect until full payment is made. However, this provision shall not be construed as affording Reisinger the option of either paying the assessment or being indefinitely subject to the sanctions.

25. Should Reisinger fail to comply with any and all provisions of this Order, the Department may impose additional sanctions and costs and seek other appropriate relief subject to Reisinger's rights to a hearing pursuant to the 1972 Act.

26. This Order is not intended to constitute and shall not be interpreted to constitute a basis for disqualification of Reisinger under Federal or State securities laws, rules, or regulations or any regulatory organization rules or regulations.

FURTHER PROVISIONS

27. Consent. Reisinger hereby knowingly, willingly, voluntarily and irrevocably consents to the entry of this Order pursuant to the Bureau's authority under the 1972 Act and agrees that he understands all of the terms and conditions contained herein. Reisinger, by voluntarily entering into this Order, waives any right to a hearing or appeal concerning the terms, conditions and/or penalties set forth in this Order.

28. Entire Agreement. This Order contains the entire agreement between the Department and Reisinger. There are no other terms, obligations, covenants, representations, statements, conditions, or otherwise, of any kind whatsoever concerning this Order. This Order may be amended in writing by mutual agreement by the Department and Reisinger.

29. Binding Nature. The Department, Reisinger, and all officers, owners, directors, employees, heirs and assigns of Reisinger intend to be and are legally bound by the terms of this Order.

30. Counsel. This Order is entered into by the parties upon full opportunity for legal advice from legal counsel.

31. Effectiveness. Reisinger hereby stipulates and agrees that the Order shall become effective on the date the Commonwealth of Pennsylvania Banking and Securities Commission approves the Order.

32. Other Enforcement Action.

a. The Department reserves all of its rights, duties and authority to enforce all statutes, rules and regulations under its jurisdiction against Reisinger in the future regarding all matters not resolved by this Order.

b. Reisinger acknowledges and agrees that this Order is only binding upon the Department and not any other local, state or federal agency, department or office regarding matters within this Order.

33. Authorization. The parties below are authorized to execute this Order and legally bind their respective parties.

34. Counterparts. This Order may be executed in separate counterparts, by facsimile and/or by PDF.

35. Titles. The titles used to identify the paragraphs of this document are for the convenience of reference only and do not control the interpretation of this document.

36. Finding. The Department finds that it is necessary and appropriate in the public interest and for the protection of investors, and consistent with the purposes fairly intended by the policy and provisions of the 1972 Act to issue this Order.

WHEREFORE, in consideration of the foregoing, including the recital paragraphs, the Commonwealth of Pennsylvania, Department of Banking and Securities, Bureau of Securities Compliance and Examinations, and Daniel J. Reisinger d/b/a Safe Investing Services, intending to be legally bound, do hereby execute this Consent Agreement and Order.

**FOR THE COMMONWEALTH OF PENNSYLVANIA
DEPARTMENT OF BANKING AND SECURITIES
BUREAU OF SECURITIES COMPLIANCE AND EXAMINATIONS**

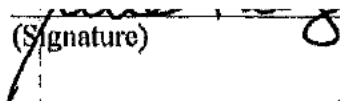
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Eric Pistilli, Acting Deputy Secretary for Securities

Date: 12/07/2021

FOR DANIEL J. REISINGER d/b/a SAFE INVESTING SERVICES

Redacted


(Signature)

Date: 12/7/21

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CERTIFICATE OF SERVICE

On behalf of the agency, I certify that I have this day caused to be served a copy of the foregoing *Final Order* upon the following persons pursuant to 1 Pa. Code § 33.31:

BY CERTIFIED, EMAIL AND
FIRST-CLASS MAIL:

Daniel J. Reisinger d/b/a
Safe Investing Services
Redacted

VIA HAND DELIVERY:

David Murren, Assistant Counsel
Commonwealth of Pennsylvania
Department of Banking and Securities
17 North Second Street, Suite 1300
Harrisburg, PA 17101
*Counsel for the Bureau of Securities
Compliance and Examinations*

Redacted

Dated this 15th day of February 2022

Eileen Smith, Docket Clerk
PA Banking and Securities Commission
17 N. 2nd Street, Suite 1300
Harrisburg, PA 17101
Telephone: (717) 787-5783