

BEFORE THE
STATE OF WISCONSIN
DEPARTMENT OF FINANCIAL INSTITUTIONS
DIVISION OF SECURITIES

In the Matter of
CA Funds Group, Inc.
Respondent.

PETITION FOR ORDER
File No.S-211697-LX

The staffs of the Bureau of Professional Registration & Compliance and the Bureau of Enforcement, of the Division of Securities, Department of Financial Institutions, State of Wisconsin ("the Division") have conducted an investigation in this matter pursuant to §551.602, Wis. Stats., and as a result thereof allege as follows:

1. CA Funds Group, Inc. (CRD #151193) ("CA Funds") is an Illinois corporation with a last known address of 526 Crescent Boulevard, #329, Glen Ellyn, Illinois 60137.
2. On July 28, 2009 CA Funds applied for FINRA membership and on July 29, 2009 applied through the CRD to become licensed as a broker-dealer in Wisconsin.
3. By letter on August 4, 2009 addressed to its President and Chief Compliance Officer, Dennis Hakeman ("Hakeman"), Division staff notified CA Funds of several items needed to be filed by January 29, 2010 to complete its application, or the staff would ask the Administrator to deny its application. The Division did not receive a response to the Staff's letter.
4. On February 9, 2010 the staff sent another letter to CA Funds addressed to Hakeman again requesting needed items to complete CA Funds' license application with the Division. The Division did not receive a response to the Staff's letter.
5. On March 1, 2010 the staff made a telephone call to 630-545-0820, the telephone number provided by the firm on the CRD application as the contact number for the firm. A message was left at this number for Hakeman to contact Nancy Jackson at her office phone number. The Division did not receive a response to this phone call.
6. On March 1, 2010 the staff made a telephone call to 630-640-3677, a mobile number that was obtained from the 630-545-0820 voice message system. A message was left at this number for Hakeman to contact Nancy Jackson of this office at 608-267-9140. The Division did not receive a response to this phone call.
7. On March 17, 2010, Division staff sent a Certified Letter to Hakeman at the Glen Ellyn location advising the firm that a referral was being made to the Legal Staff of this Division. The letter was signed for on March 22, 2010 by someone at the Glen Ellyn location.
8. To date, the staff has not received the repeatedly requested necessary information to complete CA Funds' application, nor has CA Funds withdrawn its application in Wisconsin.

9. The failure of CA Funds to complete its application, as described above, provides a basis for the denial of its license application for registration as a Broker Dealer in Wisconsin pursuant to § 551.412(1) and (4)(a), Wis. Stats.

THEREFORE, the staffs of the Bureau of Professional Registration & Compliance and the Bureau of Enforcement petition the Administrator for the issuance of the attached Order.

DATED this 9th day of April, 2010.



Leslie M. Van Buskirk
Attorney Supervisor
Bureau of Enforcement



Nancy R. Jackson
Examiner
Bureau of Professional Registration & Compliance