

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934  
Release No. 91438 / March 29, 2021

INVESTMENT ADVISERS ACT OF 1940  
Release No. 5709 / March 29, 2021

Admin. Proc. File No. 3-18422

In the Matter of

JOSHUA D. MOSSHART

NOTICE THAT INITIAL DECISION HAS BECOME FINAL

The time for filing a petition for review of the initial decision in this proceeding has expired. No such petition has been filed by Joshua D. Mosshart or the Division of Enforcement, and the Commission has not chosen to review the decision on its own initiative.

Accordingly, notice is hereby given, pursuant to Rule 360(d) of the Commission's Rules of Practice,<sup>1</sup> that the initial decision of the administrative law judge has become the final decision of the Commission with respect to Joshua D. Mosshart.<sup>2</sup> The orders contained in that decision are hereby declared effective. The initial decision ordered that: (a) pursuant to Sections 15(b) of the Securities Exchange Act of 1934 and 203(f) of the Investment Advisers Act of 1940, Joshua D. Mosshart is suspended for twelve months from associating with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization; and (b) pursuant to Section 15(b) of the Securities Exchange Act of 1934, Joshua D. Mosshart is suspended for twelve months from participating in an offering of penny stock, including acting as a promoter, finder, consultant, agent, or other person who engages in activities with a broker, dealer, or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock.

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Vanessa A. Countryman  
Secretary

<sup>1</sup> 17 C.F.R. § 201.360(d).

<sup>2</sup> *Joshua D. Mosshart*, Initial Decision Release No. 1408, 2021 WL 517422 (Feb. 11, 2021).