

**UNITED STATES OF AMERICA**  
**Before the**  
**SECURITIES AND EXCHANGE COMMISSION**

**SECURITIES EXCHANGE ACT OF 1934**  
**Release No. 95785 / September 15, 2022**

**ADMINISTRATIVE PROCEEDING**  
**File No. 3-21083**

**In the Matter of**

**Mark Alan Lisser,**

**Respondent.**

**ORDER INSTITUTING**  
**ADMINISTRATIVE PROCEEDINGS**  
**PURSUANT TO SECTION 15(b) OF THE**  
**SECURITIES EXCHANGE ACT OF 1934,**  
**MAKING FINDINGS, AND IMPOSING**  
**REMEDIAL SANCTIONS**

**I.**

The Securities and Exchange Commission (“Commission”) deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Section 15(b) of the Securities Exchange Act of 1934 (“Exchange Act”) Mark Alan Lisser (“Lisser” or “Respondent”).

**II.**

In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement (the “Offer”) which the Commission has determined to accept. Solely for the purpose of these proceedings and any other proceedings brought by or on behalf of the Commission, or to which the Commission is a party, Respondent admits the Commission’s jurisdiction over him and the subject matter of these proceedings, and the findings contained in paragraph III.2 below, and consents to the entry of this Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934, Making Findings, and Imposing Remedial Sanctions (“Order”), as set forth below.

**III.**

On the basis of this Order and Respondent’s Offer, the Commission finds that:

1. From October 5, 2018 to about March 8, 2019, Lisser, 41, and a resident of Massapequa, New York, owned and operated Knightsbridge Private Partners LLC, which operated as an unregistered broker-dealer.

2. On May 12, 2021, Lisser pleaded guilty to one count of conspiracy to commit securities fraud in violation of Title 15 United States Code, Section 371, before the United States District Court for the Eastern District of New York, in *United States v. Mark Alan Lisser*, No. 21 Cr. 210 (E.D.N.Y.). On July 25, 2022, a judgment in the criminal case was entered against Lisser. He was sentenced to a prison term of 24 months followed by two years of supervised release and ordered to make restitution in the amount of \$1,486,772.02 and to forfeit the amount of \$370,517.74.

3. The count of the criminal information to which Lisser pleaded guilty alleged, *inter alia*, that Lisser defrauded investors and obtained money and property by conspiring to use and employ one or more manipulative and deceptive devices and contrivances which would and did operate as fraud and deceit upon one or more investors and potential investors, in connection with the purchase and sale of investments in certain securities by use of means and instrumentalities of interstate commerce and the mails.

#### IV.

In view of the foregoing, the Commission deems it appropriate and in the public interest to impose the sanctions agreed to in Respondent's Offer.

Accordingly, it is hereby ORDERED pursuant to Section 15(b)(6) of the Exchange Act that Respondent be, and hereby is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization; and

Pursuant to Section 15(b)(6) of the Exchange Act Respondent be, and hereby is barred from participating in any offering of a 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.

Any reapplication for association by the Respondent will be subject to the applicable laws and regulations governing the reentry process, and reentry may be conditioned upon a number of factors, including, but not limited to, compliance with the Commission's order and payment of any or all of the following: (a) any disgorgement or civil penalties ordered by a Court against the Respondent in any action brought by the Commission; (b) any disgorgement amounts ordered against the Respondent for which the Commission waived payment; (c) any arbitration award related to the conduct that served as the basis for the Commission order; (d) any self-regulatory organization arbitration award to a customer, whether or not related to the conduct that served as

the basis for the Commission order; and (e) any restitution order by a self-regulatory organization, whether or not related to the conduct that served as the basis for the Commission order.

By the Commission.

Vanessa A. Countryman  
Secretary