

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 6541 / February 5, 2024

ADMINISTRATIVE PROCEEDING
File No. 3-20235

In the Matter of

**GREGORY MOATS
SAMPSON,**

Respondent.

**ORDER MAKING FINDINGS AND
IMPOSING REMEDIAL SANCTIONS
PURSUANT TO SECTION 203(f) OF THE
INVESTMENT ADVISERS ACT OF 1940**

I.

The Securities and Exchange Commission (“Commission”), on March 2, 2021, instituted the above-captioned public administrative proceedings pursuant to Section 203(f) of the Investment Advisers Act of 1940 (“Advisers Act”) against Gregory Moats Sampson (“Sampson” or “Respondent”).

II.

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 Section III.2–3 below, and consents to the entry of this Order Making Findings, and Imposing Remedial Sanctions Pursuant to Section 203(f) of the Investment Advisers Act of 1940 (“Order”), as set forth below.

III.

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

1. Sampson, 49 years old, is a resident of St. George, Utah. From February 2011 through November 2015, Sampson was an investment adviser representative associated with a state

registered investment adviser, My Investment Advisor, Inc. (“My IA”), holding the Series 6, 26, 63 and 65 licenses.¹

2. On September 23, 2020, an Amended Judgment in the criminal case was entered against Sampson on one count of money laundering and one count of wire fraud, violations of 18 U.S.C § 1957 and 18 U.S.C. § 1343.² Sampson was sentenced to 24 months in prison followed by 36 months of supervised release. Sampson was also ordered to make restitution in the amount of \$250,000. *United States v. Sampson*, case No. 4:19-cr-00015-DN (U.S. District Court for the District of Utah).

3. On January 13, 2020, Sampson pled guilty, and filed a Statement in Advance of Plea of Guilty stating that, on or about February 25, 2014, Sampson used manipulative and deceptive devices in connection with the offer and sale of a security. Sampson also devised a scheme to defraud investors and obtain money and property by means of materially false and fraudulent pretenses, representations and promises, and omissions of material fact. In furtherance of the scheme, Sampson made the following false and fraudulent representations to his investor: (1) he told the investor they would receive stock certificates in a company, and (2) he told the investor that their investment was performing well. Sampson also concealed the material fact that he used the investor’s funds for his own personal use and benefit.

IV.

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

Accordingly, it is hereby ORDERED, pursuant to Section 203(f) of the Advisors Act, that Respondent Sampson be, and hereby is barred from association with any broker, dealer, investment advisor, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization.

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

¹ During his association with My IA, the firm was registered as an investment adviser with the States of Utah, Colorado, and from March 2012, Nevada.

² Sampson was originally indicted on charges of securities fraud in violation of 15 U.S.C § 77q(a) and 15 U.S.C. § 77x (securities fraud in the offer and sale). On February 13, 2020, the charge was dropped after an error in the pleading in which Sampson pled guilty to 15 U.S.C. §§ 78j(b), 78ff, and 17 C.F.R. § 240.10b5 (securities fraud in the purchase or sale). Both parties agreed the charge should be dropped due to the error in the plea. The Statement in Advance of Plea of Guilty was never modified.

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