

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

**INVESTMENT ADVISERS ACT OF 1940**  
**Release No. 3723 / November 25, 2013**

**ADMINISTRATIVE PROCEEDING**  
**File No. 3-15622**

**In the Matter of**  
  
**PAUL ANTHONY MOZICATO,**  
  
**Respondent.**

**ORDER INSTITUTING**  
**ADMINISTRATIVE PROCEEDINGS**  
**PURSUANT TO SECTION 203(f) OF THE**  
**INVESTMENT ADVISERS ACT OF 1940,**  
**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 203(f) of the Investment Advisers Act of 1940 (“Advisers Act”) against Paul Anthony Mozicato (“Mozicato” 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, and without admitting or denying the findings herein, except as to the Commission’s jurisdiction over him and the subject matter of these proceedings and the findings contained in Section III.2 below, which are admitted, Respondent consents to the entry of this Order Instituting Administrative Proceedings pursuant to Section 203(f) of the Investment Advisers Act of 1940, 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 2001 to 2010, Mozicato was employed as a registered representative of Equity Services, Inc. ("Equity Services") which is dually registered with the Commission as a broker-dealer and an investment adviser. Mozicato was employed at an Equity Services branch in East Hartford, Connecticut. Mozicato, 60, is a resident of Hartford, Connecticut.

2. On August 21, 2012, Mozicato consented to an order issued by the Connecticut Department of Banking in In the Matter of Paul Anthony Mozicato., No. CO-12-8026-S, permanently barring Mozicato from the securities and investment adviser business in Connecticut.

3. The order alleged Mozicato procured \$15,000 from an elderly Connecticut resident for the purported purpose of investing her monies in a higher yielding investment for which she was not suitable; failed to record the investor's name or information about the transaction in Equity Services' books and records; and rather than investing the investor's monies as represented, Mozicato converted such sums to his own use. The order stated that Equity Services had repaid the investor and Mozicato had reimbursed Equity Services. The order also stated that Mozicato acknowledged that he willfully violated Sections 36b-4(a) and 36b-4(b) of the Connecticut Uniform Securities Act.

### IV.

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

Accordingly, it is hereby ORDERED pursuant to Section 203(f) of the Advisers Act that Respondent Mozicato 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.

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, the satisfaction of any or all of the following: (a) any disgorgement ordered against the Respondent, whether or not the Commission has fully or partially waived payment of such disgorgement; (b) any arbitration award related to the conduct that served as the basis for the Commission order; (c) 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 (d) any restitution order by a self-regulatory organization or any state securities commission (or any agency or officer performing like functions), whether or not related to the conduct that served as the basis for the Commission order.

By the Commission.

Elizabeth M. Murphy  
Secretary