

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 4357 / March 23, 2016

ADMINISTRATIVE PROCEEDING
File No. 3-17067

In the Matter of

**MOAZZAM “MARK”
MALIK,**

Respondent.

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

I.

On January 27, 2016, the Securities and Exchange Commission (“Commission”) instituted public administrative proceedings pursuant to Section 203(f) of the Investment Advisers Act of 1940 (“Advisers Act”) against Moazzam “Mark” Malik (“Malik” or “Respondent”).

II.

Respondent has submitted an Offer of Settlement (“Offer”), which the Commission has determined to accept. On the basis of this Order and Respondent’s Offer, the Commission finds that:

1. From at least May 2011 through February 2015, Malik acted as an investment adviser and sold investors limited partnership interests in his hedge fund, variously known as Seven Sages Capital, LP, American Bridge Investment Group, LLC, currently d/b/a Wolf Hedge, LLC. Malik is 34 years old and resides in New York, New York.

B. RESPONDENT’S CRIMINAL CONVICTION

2. On December 4, 2015, a jury found Malik guilty of five felony counts of grand larceny in violation of New York Penal Law Sections 155.40 and 155.35, seventeen felony counts of forgery in violation of New York Penal Law Section 170.10, five felony counts of

securities fraud in violation of New York General Business Law Section 352-c(6) and one felony count of scheme to defraud in violation of New York Penal Law Section 190.65(1)(b) in the New York State Supreme Court, Criminal Term, in *State v. Moazzam Malik*, Indictment No. 96/2015. On December 18, 2015, Malik was sentenced to a prison term of between five and fifteen years.

3. The indictment on which Malik was convicted alleged, among other things, that Malik stole money that investors had entrusted to him to invest and engaged in securities fraud. During the time of the conduct underlying the conviction, Malik was acting as an investment adviser.

III.

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

Accordingly, it is hereby ORDERED pursuant to Section 203(f) of the Advisers Act, that Respondent Malik 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, whether or not related to the conduct that served as the basis for the Commission order.

For the Commission, by its Secretary, pursuant to delegated authority.

Brent J. Fields
Secretary