

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 81082 / July 6, 2017

ADMINISTRATIVE PROCEEDING
File No. 3-18058

In the Matter of

RONALD S. HUNT,

Respondent.

ORDER INSTITUTING
ADMINISTRATIVE PROCEEDINGS
PURSUANT TO SECTION 17A(c) 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 17A(c) of the Securities Exchange Act of 1934 (“Exchange Act”) against Ronald S. Hunt (“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 Section III.2. below, and consents to the entry of this Order Instituting Administrative Proceedings Pursuant to Section 17A(c) 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:

RESPONDENT

1. Hunt, age 46, is a United States citizen formerly residing in Bristol, RI. Hunt was associated with a transfer agent registered with the Commission from 2009 to 2013.

RESPONDENT'S CRIMINAL CONVICTION

2. On July 16, 2015, Hunt pled guilty to one count of mail fraud in violation of Title 18 United States Code, Section 1343 before the United States District Court for the District of Rhode Island, in United States v. Ronald Hunt, Crim. Information No. 1:15-CR-00062-S. On November 13, 2015, a judgment in the criminal case was entered against Hunt. He was sentenced to a prison term of 18 months followed by two years of supervised release and ordered to make restitution in the amount of \$20,947.17 plus \$100.00 criminal assessment.

3. The criminal information to which Hunt pled guilty alleged, *inter alia*, that Hunt, for the purpose of executing a scheme and artifice to defraud investors and to obtain money and property by means of materially false and fraudulent pretenses, representations and promises, knowingly transmitted and caused \$1,228,774.15, more or less, to be transmitted by means of wire communication in interstate and foreign commerce from Ireland to Rhode Island, all in violation of 18 U.S.C. §§ 1343 and 2.

IV.

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

Accordingly, it is hereby ORDERED pursuant to Section 17A(c) of the Exchange Act, that Respondent Hunt 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.

By the Commission.

Brent J. Fields
Secretary