

STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT

IN THE MATTER OF: PETER ANTHONY MAZZARA.

File No. 0700300

ORDER OF PROHIBITION

TO RESPONDENT: Peter Anthony Mazzara
CRD #4323658
1750 E. Main St.
St. Charles, IL 60174

Peter Anthony Mazzara
3066 Renard
St. Charles, IL 60174

Peter Anthony Mazzara
c/o Omni Group Partners
1750 E. Main St. – Suite 90
St. Charles, IL 60174

Peter Anthony Mazzara
130 S. Canal St.
Chicago, IL 60606

On information and belief, I, Jesse White, Secretary of State for the State of Illinois, through my designated representative, having been fully advised in the premises by the staff of the Illinois Securities Department of the Office of Secretary of State, find as follows:

FINDINGS OF FACT

1. This Order of Prohibition is entered following the failure of Respondent Peter Mazzara to request a hearing on a Summary Order of Prohibition entered against him on January 26, 2011.
2. The Respondent is a natural person.

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3. The last address the Respondent reported to the Illinois Secretary of State as his residence to obtain a driver's license is 1750 E. Main Street in St. Charles, Illinois 60174.
4. On information and belief, the Respondent currently lives at this address.
5. From March 13, 2001, through July 22, 2005, the Respondent was registered intermittently with the Illinois Secretary of State as a securities salesperson associated with several Illinois broker dealers.
6. During this period, the Respondent also was regulated intermittently as an investment company and variable contracts products securities salesperson representative by a self-regulatory organization then-known as the National Association of Securities Dealers, Inc.
7. The federal Securities Exchange Act of 1934 identified a self-regulatory organization as a non-governmental organization authorized by the Exchange Act to establish and enforce certain securities industry standards and requirements regarding securities brokerage and trading. In accordance with the federal act, the National Association of Securities Dealers ("NASD") was founded and registered in 1939 with the U.S. Securities and Exchange Commission as a self-regulatory organization. (NASD continued in operation until July 2007, when it and another self-regulatory organization, the New York Stock Exchange Regulations, Inc., merged into a single self-regulatory organization known as the Financial Industry Regulatory Authority, Inc. ("FINRA").)
8. From November 29, 2004 through July 22, 2005, the Respondent was registered with the Illinois Secretary of State and regulated by NASD as a securities salesperson associated with broker-dealer Caldwell International Securities Corporation, located in Clarendon Hills, Illinois.
9. On July 22, 2005, broker-dealer Caldwell International began investigating whether the Respondent had violated securities industry standards of conduct, and on the same day permitted the Respondent to resign from this salesperson position.
10. NASD Rule 9552 at that time provided in pertinent part that if persons subject to NASD's jurisdiction failed to provide any information, report, material, data, or testimony requested or required to be filed pursuant to NASD by-laws or rules, their association with any member securities firm would be suspended. The rule gave such persons twenty-one days to take corrective action after receiving notice of NASD's intent to suspend.
11. On March 24, 2006, relying on Caldwell International's investigation of the Respondent and the termination of his association with the firm, NASD issued the Respondent a notice of intent to suspend him from associating with any NASD firm in any capacity because he failed to comply with NASD Rule 9552(a).

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12. The Respondent failed to provide the information required by NASD within the twenty-one-day deadline.
13. On April 19, 2006, NASD followed the notice of intent to suspend with a notice that suspended the Respondent from associating with any NASD member firm. The notice stated the Respondent would be automatically barred from associating with any NASD firm if he failed to request termination of the suspension by October 2, 2006.
14. NASD reports the Respondent failed to request termination of his suspension by the October 2006 deadline. In response, NASD automatically barred him from associating with any NASD member firm on that date, effective retroactively to July 22, 2005, the date Caldwell International terminated his association with the firm. That bar continues in effect through the date of this order.
15. Section 8.E(1)(j) of the Illinois Securities Law of 1953, as amended ("Act"), provides in pertinent part that the Illinois registration of a securities salesperson may be revoked if the Illinois Secretary of State finds the salesperson's association with any self-regulatory organization registered under the Securities Exchange Act of 1934 has been revoked or limited in any capacity arising from any practice in violation of any rule, regulation, or standard duly promulgated by that organization.
16. On October 2, 2006, in accordance with Section 8.E(1)(j) of the Act, the Illinois Secretary of State terminated the Respondent's salesperson registration, also effective retroactively to July 22, 2005, based on the NASD association bar. That termination continues in effect through the date of this order.
17. Section 11.F(7) of the Act provides in pertinent part that:
 - (a) Whenever the Secretary of State finds that a person is currently refused association with a self-regulatory organization registered under the federal Securities Act of 1934 or the federal Securities Act of 1974 because of a practice in violation of a rule, regulations or standard duty promulgated by the self-regulatory organization, the Secretary of State may enter a summary order of prohibition against that person.
 - (b) The summary order of prohibition shall prohibit the offer or sale of any securities, mineral investment contract, or mineral deferred delivery contract by the person in Illinois.
 - (c) The order shall take effect immediately upon its entry.
18. On January 26, 2011, in accordance with Section 11.F(7) of the Act, the Secretary of State entered a summary order of prohibition against the Respondent. That order gave the Respondent thirty days from the date the order was entered to request a hearing on his prohibition from offering or selling securities, mineral investment contracts, or mineral deferred delivery contracts in Illinois. The order gave the Respondent notice that his

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failure to request a hearing would be deemed to constitute a waiver of all rights to a hearing, and the order would become permanent.

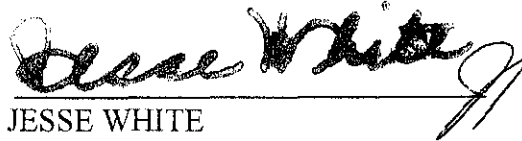
19. Section 11.F(7) of the Act also provides in pertinent part that immediately after the Secretary of State takes the action of entering the summary order, he or she shall deliver a copy of the order to the named respondent by personal service or registered mail or certified mail, return receipt requested.
20. On February 4, 2011, in accordance with Section 11.F(7) of the Act, the Illinois Securities Department of the office of the Secretary of State served a copy of the summary order on the Respondent by mailing it to him certified mail, return receipt requested, at the last address he had reported to the Secretary of State as his residence to obtain a driver's license. The Securities Department also served a copy of the order on the Respondent at the other addresses listed above which the Department's investigation revealed he has used.
21. Section 10.B of the Act provides in pertinent part that the filing of an application for registration as a securities salesperson under Section 8 of the Act shall be equivalent to and shall constitute an appointment by the person of the Secretary of State upon whom all lawful process may be served in any action or proceeding against the person.
22. In accordance with Section 10.B of the Act, the Illinois Securities Department served a copy of the summary order on the Respondent on February 4, 2011, by sending it to the Illinois Index Department of the office of the Secretary of State, the office designated by the Secretary of State to accept such service for him.
23. Section 10.B of the Act also provides in pertinent part that service of process on a person who has filed an application for registration as a securities salesperson by a representative designated to accept service for the Secretary of State occurs when the representative sends the person notice of service of process and a copy of the process within ten days of receipt to the person's last-known address by registered mail or certified mail, return receipt requested.
24. In accordance with Section 10.B, the Index Department mailed the Respondent on February 4, 2011 a copy of the summary order and notice it had accepted service for him of the order by certified mail, return receipt requested, at the last address he had reported to the Secretary of State as his residence to obtain a driver's license. The Index Department also served a copy of the order on the Respondent at the other addresses listed above which the Securities Department's investigation revealed he has used.

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NOW, THEREFORE, IT IS HEREBY ORDERED THAT Respondent Peter Anthony Mazzara is prohibited from offering or selling any securities, mineral investment contract, or mineral deferred delivery contract in Illinois.

Entered: This 18th day of July, 2012.



JESSE WHITE
Secretary of State
State of Illinois

Bernadette Cole
Enforcement Attorney
Office of the Secretary of State
Illinois Securities Department
69 W. Washington Street - Suite 1220
Chicago, Illinois 60602
Telephone: (312) 793-9642

NOTICE TO RESPONDENTS: Failure to comply with the terms of this order shall constitute a violation of Section 12.D of the Illinois Securities Law of 1953. Any person or entity failing to comply with the terms of this order and having knowledge of the existence of this order, shall be guilty of a Class 4 felony. 815 ILCS 5/12.D; and 5/14.A.

This is a final order and is subject to judicial review under the Administrative Review Law, in accordance with Section 11.H of the Illinois Securities Law of 1953, and the Illinois Administrative Code. 735 ILCS 5/3-101 *et seq.*; 815 ILCS 5/11.H; and 14 Ill. Admin. Code 130.1123.

Any action for judicial review of this order must be commenced within 35 days from the date a copy of this order was served by U.S. mail upon the party seeking review, in accordance with Section 103 of the Administrative Review Law. 735 ILCS 5/3-103.