

**STATE OF ILLINOIS
SECRETARY OF STATE
SECURITIES DEPARTMENT**

IN THE MATTER OF: PETER ANTHONY MAZZARA.

File No. 0700300

SUMMARY ORDER OF PROHIBITION

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

Peter Anthony Mazzara
CRD #4323658
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:

1. Respondent Peter Mazzara is a natural person. The last address the Respondent reported to the Illinois Secretary of State is 1750 E. Main St. in St. Charles, Illinois 60093-1430.
2. On information and belief, the Respondent currently lives at this address.
3. In accordance with the federal Securities Exchange Act of 1934, the National Association of Securities Dealers (“NASD”), a private, non-governmental organization, was founded and registered in 1939 with the U.S. Securities and Exchange Commission as a self-regulatory organization. Under the federal law, a self-regulatory organization is non-governmental organization that was authorized by the federal Securities Exchange Act of 1934 to establish and enforce certain securities industry standards and requirements regarding securities brokerage and trading.

Summary Order of Prohibition

-2-

4. From November 29, 2004 through July 22, 2005, the Respondent was regulated by NASD and registered with the Illinois Secretary of State as a securities salesperson associated with broker-dealer Caldwell International Securities Corporation, located in Clarendon Hills, Illinois.
5. On July 22, 2005, Caldwell International began investigating whether the Respondent had violated securities industry standards of conduct, and permitted the Respondent to resign from his salesperson position with the company on that day.
6. 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.
7. On March 24, 2006, relying on Caldwell International's investigation of the Respondent and termination of his association with the firm, NASD issued a notice of intent to suspend the Respondent from associating with any NASD firm in any capacity because he failed to comply with NASD Rule 9552(a).
8. The Respondent failed to provide the information required by NASD within the twenty-one-day deadline.
9. 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 informed him that he would be automatically barred from associating with any NASD firm if he failed to request termination of the suspension by October 2, 2006.
10. The Respondent failed to request termination of his suspension by the October 2006 deadline, and was automatically barred 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.
11. On the same date, October 2, 2006, the Illinois Secretary of State, relying on the Respondent's failure to comply with the NASD rule, terminated the Respondent's securities salesperson registration, also effective retroactively to July 22, 2005. That termination continues in effect through the date of this order.

Summary Order of Prohibition

-3-

12. Section 11.F(7) of the Illinois Securities Law of 1953, as amended (“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.

NOW, THEREFORE, IT IS HEREBY ORDERED THAT according to the authority granted by Section 11.F(7) of the Illinois Securities Law of 1953, as amended:

- 1. Respondent Peter Anthony Mazzara is prohibited from offering or selling any securities, mineral investment contract, or mineral deferred delivery contract in Illinois.
- 2. This order shall take effect immediately upon its entry.

NOTICE IS HEREBY GIVEN THAT Respondent Mazzara may request a hearing on this matter by transmitting it in writing to:

Bernadette Cole
Enforcement Attorney
Illinois Securities Department
Office of the Secretary of State
69 W. Washington St. – Suite 1220
Chicago, IL 60602

A request for a hearing must be received within thirty days after the date of entry of this summary order. Upon receipt of a request for a hearing, a hearing will be scheduled as soon as reasonably practicable. A request for hearing will not stop the effectiveness of this order.

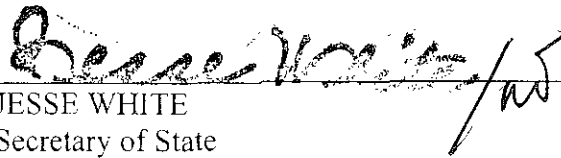
*** NOTICES TO THE RESPONDENT CONTINUE ON PAGE 4 ***

Summary Order of Prohibition

-4-

FAILURE BY THE RESPONDENT TO REQUEST A HEARING WITHIN THIRTY DAYS AFTER THE DATE OF ENTRY OF THIS SUMMARY ORDER OF PROHIBITION SHALL BE DEEMED TO CONSTITUTE A WAIVER OF ALL RIGHTS TO A HEARING, AND THIS ORDER SHALL BECOME PERMANENT.

Entered: This 26th day of January, 2011.

A handwritten signature in black ink, appearing to read "Jesse White", is written over a horizontal line. The signature is stylized and includes a large flourish at the end.

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