



STATE OF MISSOURI  
OFFICE OF SECRETARY OF STATE

IN THE MATTER OF: )  
 )  
ANTHONY LAPORTA, CRD #4066045 )  
 )  
 Respondent. ) Case No. AP-16-12

**CONSENT ORDER**

**SUMMARY OF THE SECURITIES DIVISION’S ALLEGATIONS**

1. The Missouri Securities Division of the Office of Secretary of State (“Division”), through Enforcement Counsel Scott Snipkie, has alleged that Anthony LaPorta (“Respondent”) transacted business in the State of Missouri without being registered or exempt from registration, in violation of Section 409.4-403 RSMo (Cum. Supp. 2013),<sup>1</sup> and that this constitutes grounds to issue an order pursuant to Section 409.6-604, RSMo.
2. Respondent and the Division desire to settle the allegations and the matter raised by the Division relating to the Respondent’s alleged violation of Section 409.4-403, as well as all other violations that could have, but have not been, specifically alleged herein.

**CONSENT TO JURISDICTION**

3. Respondent and the Division stipulate and agree that the Missouri Commissioner of Securities (“Commissioner”) has jurisdiction over Respondent and these matters pursuant to the Missouri Securities Act of 2003, Chapter 409, *et seq.*
4. Respondent and the Division stipulate and agree that the Commissioner has authority to enter this Order pursuant to Section 409.6-604(h), which provides:

“The commissioner is authorized to issue administrative consent orders in the settlement of any proceeding in the public interest under this act.”

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<sup>1</sup> Unless otherwise noted, all statutory references are to the 2013 cumulative supplement to the Revised Statutes of Missouri.

WAIVER AND EXCEPTION

5. Respondent waives Respondent's rights to a hearing with respect to this matter.
6. Respondent waives any rights that Respondent may have to seek judicial review or otherwise challenge or contest the terms and conditions of this Order. Respondent specifically forever releases and holds harmless the Missouri Office of Secretary of State, Secretary of State, Commissioner, and their respective representatives and agents from any and all liability and claims arising out of, pertaining to, or relating to this matter.
7. Respondent stipulates and agrees with the Division that, should the facts contained herein prove to be false or incomplete, the Division reserves the right to pursue any and all legal or administrative remedies at its disposal.

CONSENT TO COMMISSIONER'S ORDER

8. Respondent and the Division stipulate and agree to the issuance of this Consent Order without further proceedings in this matter, agreeing to be fully bound by the terms and conditions specified herein.
9. Respondent agrees not to take any action or to make or permit to be made any public statement creating the impression that this Order is without factual basis. Nothing in this paragraph affects Respondent's (a) testimonial obligations; (b) right to take legal or factual positions in defense of litigation or in defense of other legal proceedings in which the Commissioner is not a party; or (c) right to make public statements that are factual.
10. Respondent agrees that Respondent is not the prevailing party in this action since the parties have reached a good faith settlement.
11. Respondent consents, without admitting or denying, to the Commissioner's Findings of Fact, Conclusions of Law, and Order as set forth below solely for the purposes of resolving this proceeding and any proceeding that may be brought to enforce the terms of this Consent Order.

COMMISSIONER'S FINDINGS OF FACT,  
CONCLUSIONS OF LAW, AND ORDER

I. FINDINGS OF FACT

12. LaPorta, CRD #4066045, is a Florida resident with a mailing address of 1 Beach Drive Southeast, Unit 703, Saint Petersburg, Florida 33701.
13. At all times relevant to this matter, Respondent has never been registered with the State of Missouri as an investment adviser, investment adviser representative, broker-dealer, broker-dealer agent, or issuer agent.

14. Respondent disclosed to the Division, among other things, the following:
  - a. Respondent distributes daily market commentaries and/or pivot tables, among other things, to subscribers of Respondent's website, tonylaporta.com ("Website 1"), via e-mail for a monthly fee.
  - b. On Website 1, Respondent offers a service in which Respondent would meet with an individual or subscriber face-to-face for a week to trade alongside of and teach the subscriber how to trade financial and commodity futures for a one-time fee of \$10,000 ("Service 1").
  - c. No individual or subscriber, to date, has purchased Service 1 from Respondent.

## II. CONCLUSIONS OF LAW

15. The Commissioner concludes that Respondent provided unregistered investment advice by offering Service 1 to individuals and subscribers without being registered or exempt, in violation of Sections 409.4-403, and that this violation constitutes grounds to issue an order pursuant to Section 409.6-604.
16. The Commissioner, after consideration of the stipulations set forth above and on consent of the Respondent and the Division, finds and concludes that the Commissioner has jurisdiction over Respondent in this matter and that the following order is in the public interest, necessary for the protection of public investors, and consistent with the purposes intended by Chapter 409, RSMo.

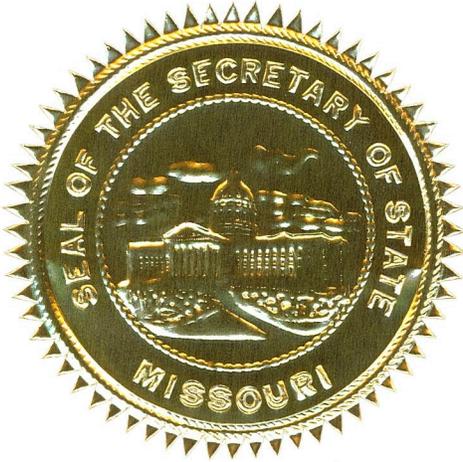
## III. ORDER

**NOW, THEREFORE,** it is hereby Ordered that:

1. Respondent shall remove from Website 1 any mention of Service 1, and shall cease to offer Service 1 through any platform in perpetuity unless and until Respondent becomes registered to act as an investment adviser;
2. Respondent shall pay his own costs and attorneys' fees with respect to this matter; and,
3. Upon Respondent's failure to comply with the terms of this Consent Order, Respondent shall be responsible for a payment of \$1,000 to the Investor Education and Protection Fund. Such payment shall be sent within 30 days of discovery of Respondent's failure to comply with this Order to the Securities Division at 600 W. Main Street, Jefferson City, Missouri 65101, and shall be payable to the Missouri Secretary of State's Investor Education and Protection Fund. The Division will send the money to the Missouri Secretary of State's Investor Education and Protection Fund.

**ORDERED:**

WITNESS MY HAND AND OFFICIAL SEAL OF MY OFFICE AT JEFFERSON CITY,  
MISSOURI THIS 7<sup>th</sup> DAY OF March, 2016



JASON KANDER  
SECRETARY OF STATE

*Andrew M. Hartnett*

ANDREW M. HARTNETT  
COMMISSIONER OF SECURITIES

Consented to by:

THE MISSOURI SECURITIES DIVISION

*Scott Snipe*  
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Scott Snipe  
Enforcement Counsel

RESPONDENT

*Anthony LaPorta*  
\_\_\_\_\_  
Anthony LaPorta