

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES
204 NORTH ROBINSON, SUITE 400
OKLAHOMA CITY, OK 73102-7001



In the Matter of:

Anthony Sica (CRD No. 1332626),

Respondent.

ODS File 18-060

AGREEMENT

THIS AGREEMENT is entered into between Anthony Sica ("**Respondent**") and the Administrator of the Oklahoma Department of Securities (the "**Administrator**" and "**Department**") (collectively, the "**Parties**"), as of the Effective Date set forth below.

Respondent is registered under the Oklahoma Uniform Securities Act of 2004 (the "**Act**"), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011 and Supp. 2017), as an agent of Joseph Gunnar & Co. LLC.

On November 20, 2017, Respondent entered into an Acceptance, Waiver and Consent with the Financial Industry Regulatory Authority ("**FINRA**"), wherein, without admitting or denying the findings, he consented to the sanctions and the entry of findings that he made unsuitable recommendations to an elderly customer and that he engaged in unauthorized trading by placing trades in the accounts of a deceased client. In addition to a civil penalty and restitution, FINRA suspended Respondent for the three month period beginning December 18, 2017, through March 17, 2018. The Department alleges that based on the FINRA suspension, Respondent is subject to sanctions under 1-411(D)(5)(c) of the Act.

Respondent voluntarily enters into this Agreement to resolve the Department's allegations. Respondent waives the initiation of an individual proceeding and adjudication of any issue of law or fact.

The Parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject matter of this Agreement.

2. **Compliance.** Respondent will comply with all provisions of the Act and the Rules of the Oklahoma Securities Commission and the Administrator of the Department of Securities (effective November 1, 2016).

3. **Heightened Supervision.** Upon his return from the three (3) month suspension imposed by FINRA, Respondent will be subject to a heightened supervision plan for a minimum of two (2) years from the Effective Date of this Agreement. The heightened supervision plan must be approved by the firm with which Respondent is associated and by the Administrator.

4. **No Oklahoma Solicitation.** For a period of two (2) years from the Effective Date of this Agreement, Respondent will not solicit by mail, by electronic communication, by phone, or by any other means, either directly or indirectly, any Oklahoma resident to be his client. Respondent may continue to serve his current Oklahoma client.

5. **No Coercion.** Respondent enters into this Agreement voluntarily and without any duress, undue influence, or coercion by the Administrator, any employee of the Department, or any member of the Oklahoma Securities Commission.

6. **Public Record.** This Agreement is a public record and will be available for public examination, pursuant to Section 1-607 of the Act.

7. **Consideration.** In consideration for this Agreement, the Administrator will not take further action against Respondent in connection with the allegations set forth above, except as provided for in paragraphs 8, 9, and 10 below.

8. **Failure to Comply.** If Respondent fails to comply with this Agreement, the Administrator may, in his discretion and without prior notice to Respondent or opportunity for hearing, issue an order suspending Respondent's registration under the Act until Respondent has completed the requirements of the Agreement, and/or may take any other action authorized by law.

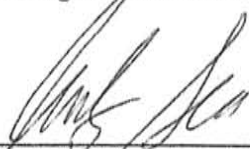
9. **Limitation on Agreement.** Nothing in this Agreement shall prohibit the Administrator from furnishing information to any other properly constituted agency or authority. In the event any other agency or authority commences an action in connection with information obtained from the Administrator against Respondent, the Administrator may assist in such action as authorized by law.

10. **Entire Agreement.** This writing constitutes the entire agreement of the Parties with respect to the subject matter hereof and supersedes any and all prior and contemporaneous agreements, representations and understandings of the Parties. No supplement, modification or amendment to this Agreement shall be binding unless executed in writing by each of the Parties hereto.

11. **Applicability.** This Agreement applies only to the activities of Respondent, and to no others. It is further agreed that the execution of this Agreement does not mean that the Administrator has approved, condoned or passed in any way upon the merits or qualifications of, or recommended, the transactions to which it relates or any future securities transactions.

12. **Effective Date.** This Agreement shall be effective as of the date on which it is signed by the Administrator as set forth below his signature hereto.

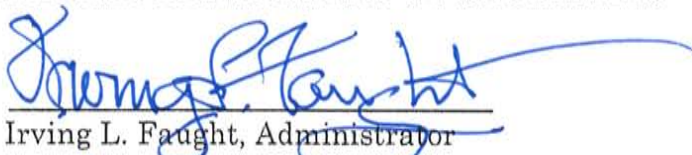
The Parties have executed this Agreement as of the date and year set forth below their signatures hereto.



ANTHONY SICA

Date: 3/9/18

OKLAHOMA DEPARTMENT OF SECURITIES

By: 

Irving L. Faught, Administrator

Date: 3/20/2018