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Texas State Securities Board

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IN THE MATTER OF
THE INVESTMENT ADVISER
REPRESENTATIVE
REGISTRATION OF
JASON ALLEN D'AMATO

§
§
§
§
§

Order No. IC13-SUS-05

TO: Jason Allen D'Amato (CRD No. 3010323)
27127 Harvest Pointe Lane
Katy, TX 77494

DISCIPLINARY ORDER

Be it remembered that Jason Allen D'Amato ("Respondent") appeared before the Securities Commissioner of the State of Texas ("Securities Commissioner") and consented to the entry of this order ("Order") and the Findings of Fact and Conclusions of Law contained herein.

FINDINGS OF FACT

1. Respondent has waived (a) Respondent's right to notice and hearing in this matter; (b) Respondent's right to appear and present evidence in this matter; (c) Respondent's right to appeal this Order; and (d) all other procedural rights granted to the Respondent by The Securities Act, Tex. Rev. Civ. Stat. Ann. arts. 581-1 to 581-43 (West 2010 & Supp. 2012)("Texas Securities Act"), and the Administrative Procedure Act, Tex. Gov't Code Ann. §§ 2001.001 to 2001.902 (West 2008 & Supp. 2012)("Administrative Procedure Act").
2. From on or about May 19, 2003 through on or about March 6, 2009, Respondent was registered with the Securities Commissioner as an agent and investment adviser representative of Stanford Group Company ("SGC").
3. On or about July 9, 2009, Respondent registered with the Securities Commissioner as an investment adviser representative of Dia Lucrui Capital, LLC. This registration is currently effective.
4. While registered with SGC, Respondent represented to co-workers and SGC financial advisors that he was a Chartered Financial Analyst ("CFA").
5. Respondent was not, and has never been, a CFA charterholder.

6. In connection with Respondent's false representations, Respondent sent a fabricated e-mail to SGC (the "E-mail"). The E-mail was written to create the impression that the CFA Institute had sent the message to congratulate Respondent on passing the Level III CFA exam and achieving CFA charterholder status.
7. In reality, Respondent failed the Level I CFA exam the first and only time he took it.

CONCLUSIONS OF LAW

1. Respondent's representations to others regarding his status as a CFA charterholder at a time when Respondent was not a CFA are misrepresentations of a relevant fact and constitute fraudulent business practices.
2. Respondent's actions in connection with sending the E-mail to SGC constitute fraudulent business practices.
3. Pursuant to Section 14.A(3) of the Texas Securities Act, the aforementioned fraudulent business practices are bases for the suspension of Respondent's registration with the Securities Commissioner.


ORDER

It is therefore ORDERED that the investment adviser representative registration of Jason Allen D'Amato is hereby SUSPENDED for a period of five (5) years.

SIGNED AND ENTERED BY THE SECURITIES COMMISSIONER this 20th
day of June, 2013.



JOHN MORGAN
Securities Commissioner

Respondent:



Jason Allen D'Amato

Approved as to Form:



Ronak V. Patel
Deputy Securities Commissioner



Michael Falick
Rothfelder & Falick, LLP
Attorney for Respondent



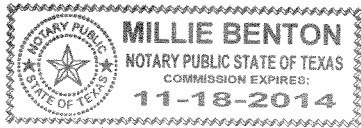
Clinton T. Edgar
Attorney
Inspections and Compliance Division

ACKNOWLEDGMENT

On the 29 day of JAN., 2013, Jason Allen D'Amato ("Respondent") personally appeared before me, executed the foregoing Order and acknowledged that:

1. Respondent has read the foregoing Order;
2. Respondent has been fully advised of his rights under the Texas Securities Act and the Administrative Procedure Act;
3. Respondent knowingly and voluntarily consents to the entry of the foregoing Order and the Findings of Fact and Conclusions of Law contained therein; and
4. Respondent, by consenting to the entry of the foregoing Order, has knowingly and voluntarily waived his rights as set forth therein.

STATE OF TEXAS
COUNTY OF FORT BEND



MILLIE BENTON
NOTARY PUBLIC STATE OF TEXAS
COMMISSION EXPIRES:
11-18-2014

Millie Benton