

STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS
DEPARTMENT OF BUSINESS REGULATION, DIVISION OF SECURITIES
1511 PONTIAC AVENUE, BUILDING 69-1
CRANSTON, RI 02920

IN THE MATTER OF

MAUCH INVESTMENT SERVICES

CONSENT AGREEMENT

I.

The Securities Division (the "Division") of the Rhode Island Department of Business Regulation ("Department") enters into this Consent Agreement ("Agreement") to resolve concerns that §7-11-209(d)(1) of the Rhode Island Uniform Securities Act of 1990 (the "RIUSA", the "Act"), §7-11-101 *et seq.* of the Rhode Island General Laws, 1989, as amended, and Rule 209(c)-1.(12) promulgated under the Act, may have been violated by Mauch Investment Services ("Mauch", the "Firm"). The Division has determined to resolve this matter, after investigation but without instituting administrative proceedings, by entering into this Agreement.

II.

It is hereby agreed by and between the Division and Mauch that:

1. Mauch, a sole proprietorship, is a licensed investment adviser with a principal place of business at 23 Wollen Drive, Cumberland, Rhode Island.
2. A routine examination conducted by the Division on October 23, 2014, revealed deficiencies that constitute violations of the RIUSA. Specifically:

a.) The Firm failed to file an annual amendment updating its Form ADV within 90 days of the end of its fiscal year, December 31st, for years 2008, 2010, 2011 and 2012 in violation of §204-1(a) of the Investment Advisers Act of 1940; such failure constitutes a violation of RIUSA §7-11-209(d)(1) Rule 209(c)-1.(12).

III

Based on the foregoing, the Division finds that the following is in the public interest, appropriate for the protection of investors and consistent with the purposes intended by the policy and provisions of RIUSA.

Accordingly, it is hereby further agreed that:

1. Mauch shall immediately update Form ADV Part 1A through the IARD;
2. Upon execution of this Agreement, Mauch shall pay an administrative penalty of \$500.00 to the Department for violations of the RIUSA §7-11-209(d)(1) and Rule 209(c)-1.(12).
3. Additional violations of the RIUSA may be grounds for significant and substantial penalties such as revocation or suspension, administrative penalties up to ten thousand dollars (\$10,000.00) per violation and the imposition of criminal and civil sanctions.

Dated as of the 18th day of March, 2014.


Maria L. D'Alessandro
Maria L. D'Alessandro, Esq.
Deputy Director Securities, Commercial Licensing
and Racing & Athletics

By: John Mauch
Mauch Investment Services

Its PRES.

On this 10 day of November, 2014 appeared before me Dana Mauch.

_____ who executed the foregoing Consent Agreement and who duly acknowledged to me
the authorization to do so.



NOTARY PUBLIC
My Commission Expires 8/5/18