

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 69466 / April 26, 2013

ADMINISTRATIVE PROCEEDING
File No. 3-15307

In the Matter of

RICHARD BRUCE MOORE,

Respondent.

ORDER INSTITUTING
ADMINISTRATIVE PROCEEDINGS
PURSUANT TO SECTION 15(b) OF THE
SECURITIES EXCHANGE ACT OF 1934,
MAKING FINDINGS, AND IMPOSING
REMEDIAL SANCTIONS

I.

The Securities and Exchange Commission (“Commission”) deems it appropriate and in the public interest that public administrative proceedings be, and hereby are, instituted pursuant to Section 15(b) of the Securities Exchange Act of 1934 (“Exchange Act”) against Richard Bruce Moore (“Respondent”).

II.

In anticipation of the institution of these proceedings, Respondent has submitted an Offer of Settlement (the “Offer”) which the Commission has determined to accept. Solely for the purpose of these proceedings and any other proceedings brought by or on behalf of the Commission, or to which the Commission is a party, and without admitting or denying the findings herein, except for: those facts related to his trading in securities of Tomkins plc that are set forth in the Settlement Agreement Between Staff of the Ontario Securities Commission and Richard Bruce Moore, dated March 6, 2013; jurisdiction over him and the subject matter of these proceedings; and the findings contained in Section III.2 below, all of which are admitted, Respondent consents to the entry of this Order Instituting Administrative Proceedings Pursuant to Section 15(b) of the Securities Exchange Act of 1934, Making Findings, and Imposing Remedial Sanctions (“Order”), as set forth below.

III.

On the basis of this Order and Respondent’s Offer, the Commission finds that

1. Moore was, from at least January 2010 through October 2010, a managing director and investment banker at CIBC World Markets, Ltd., the Toronto, Canada-based

investment bank subsidiary of Canadian Imperial Bank of Commerce (“CIBC”). During this time, CIBC also had a New York-based investment bank subsidiary, CIBC World Markets Corp., which was registered with the Commission as a broker-dealer. Through CIBC, Moore was under common control with the registered broker-dealer, and thus was a person associated with it.

2. On April 23, 2013, a final judgment was entered by consent against Moore, permanently enjoining him from future violations of Section 10(b) of the Exchange Act and Rule 10b-5 thereunder, in the civil action entitled Securities and Exchange Commission v. Richard Bruce Moore, No. 13 CIV 2514 (HB), in the United States District Court for the Southern District of New York.

3. The Commission’s complaint in that action alleged that on June 28, 2010, Moore knowingly or recklessly misappropriated from his employer information that a CIBC client was working on a potential acquisition of Tomkins plc, a United Kingdom engineering and manufacturing firm, by purchasing for his personal benefit 51,350 Tomkins American Depositary Receipts, which traded on the New York Stock Exchange.

IV.

In view of the foregoing, the Commission deems it appropriate and in the public interest to impose the sanctions agreed to in Respondent Moore’s Offer.

Accordingly, it is hereby ORDERED pursuant to Section 15(b)(6) of the Exchange Act that Respondent Moore be, and hereby is:

barred from association with any broker, dealer, investment adviser, municipal securities dealer, or transfer agent; and

barred from participating in any offering of a penny stock, including: acting as a promoter, finder, consultant, agent or other person who engages in activities with a broker, dealer or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock.

Any reapplication for association by Respondent will be subject to the applicable laws and regulations governing the reentry process, and reentry may be conditioned upon a number of factors, including, but not limited to, the satisfaction of any or all of the following: (a) any disgorgement ordered against Respondent, whether or not the Commission has fully or partially waived payment of such disgorgement; (b) any arbitration award related to the conduct that served as the basis for the Commission order; (c) any self-regulatory organization arbitration award to a

customer, whether or not related to the conduct that served as the basis for the Commission order;
and (d) any restitution order by a self-regulatory organization, whether or not related to the conduct
that served as the basis for the Commission order.

By the Commission.

Elizabeth M. Murphy
Secretary