

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 60892 / October 28, 2009

ADMINISTRATIVE PROCEEDING
File No. 3-13668

In the Matter of

ANTHONY PEREZ,

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 Anthony Perez (“Perez” or “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 as to the Commission’s jurisdiction over him and the subject matter of these proceedings, and the findings contained in Section III.2 below, 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. From July 2007 to May 2008, Perez was a registered representative associated with Goldman Sachs Group Inc. ("Goldman Sachs"), a broker-dealer registered with the Commission, and served as investment banking analyst in its financial institutions group in New York City. In September 2007, Perez received a Series 7, General Securities license. Perez, 26 years old, is a resident of Maitland, Florida.

2. On September 15, 2009, a final judgment was entered by consent against Perez, 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. Anthony Perez and Ian C. Perez, Civil Action Number 6:09-CV-1225-Orl-28DAB, in the United States District Court for the Middle District of Florida.

3. The Commission's complaint alleged that in March 2008, Perez began working on a potential acquisition of Safeco Corp. ("Safeco") on behalf of a large Goldman Sachs client. From April 5, 2008 to April 21, 2008, Perez misappropriated material, nonpublic information concerning the potential acquisition of Safeco and tipped this confidential information to his brother, Ian C. Perez, who bought Safeco call options on April 22, 2008, and sold them on April 23, 2008, for a profit of \$152,231.10.

IV.

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

Accordingly, it is hereby ORDERED:

Pursuant to Section 15(b)(6) of the Exchange Act, that Respondent Perez be, and hereby is barred from association with any broker or dealer with the right to reapply for association after five years to the appropriate self-regulatory organization, or if there is none, to the Commission;

Any reapplication for association by the 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 the 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