

No. 12-1473

**UNITED STATES COURT OF APPEALS  
FOR THE DISTRICT OF COLUMBIA CIRCUIT**

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**SECURITIES AND EXCHANGE COMMISSION,  
Petitioner,**

**v.**

**MATTHEW J. COLLINS,  
Respondent.**

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**CONSENT JUDGMENT SUMMARILY ENFORCING  
THE COMMISSION'S ORDER AGAINST MATTHEW J. COLLINS  
EXCEPT AS TO THE CIVIL MONETARY PENALTY**

WHEREAS the U.S. Securities and Exchange Commission brought administrative proceedings against Matthew J. Collins alleging, among other things, that Collins, while associated with a registered broker-dealer, failed reasonably to supervise Eric J. Brown, his sole subordinate, in association with the sale and offer of securities;

WHEREAS the Commission found that Collins failed reasonably to supervise Brown, and accordingly ordered that Collins cease-and-desist from future violations of the federal securities laws, imposed an associational bar against Collins, and ordered that Collins pay, \$310,000 in civil penalties, \$2,915

in disgorgement, plus prejudgment interest of \$1,324.74;

WHEREAS Collins filed a petition for review of the Commission's order in which he challenged the amount of civil penalties imposed on him by the Commission, but did not challenge the Commission's findings that he failed reasonably to supervise Brown, or the disgorgement and prejudgment interest amounts imposed on him by the Commission;

WHEREAS the Commission's order has become final and may be enforced against Collins as to the disgorgement and prejudgment interest amounts;

WHEREAS the parties have agreed to resolve this matter without the need for substantive briefing or oral argument;

WHEREAS Collins has consented to the entry of this Consent Judgment summarily enforcing against him the portions of the Commission's order imposing disgorgement and prejudgment interest, without trial or adjudication of any issue of fact or law, and to waive any appeal of the Consent Judgment if it is entered as submitted by the parties;

WHEREAS, pursuant to Rule 600 of the Commission's Rules of Practice, 17 C.F.R. 201.600, the amount of additional accrued interest on the disgorgement amount to the date of the entry of this Consent Judgment is \$73.78;

WHEREAS Collins acknowledges that no promise or representation has

been made by the Commission or any member, officer, employee, agent, or representative of the Commission with regard to any criminal liability that may have arisen or may arise from the facts underlying this action or immunity from any such criminal liability, and accordingly waives any claim of Double Jeopardy based upon the settlement of this proceeding, including the imposition of any remedy herein;

AND WHEREAS Collins enters into this Consent voluntarily and represents that no threats, offers, promises, or inducements of any kind have been made by the Commission or any member, officer, employee, agent, or representative of the Commission to induce Collins to enter into this Consent;

IT IS HEREBY ORDERED that:

1. This Court has jurisdiction over the subject matter of this action and over Collins.
2. The portions of the February 12, 2012 order by the Commission requiring that Collins pay \$2,915 in disgorgement and \$1,324.74 in prejudgment interest are final and may be enforced against Collins, and this Court's judgment summarily enforcing those portions of the Commission's order may be registered in any judicial district pursuant to 28 U.S.C. 1963.
3. Collins therefore must pay \$2,915 in disgorgement and \$1324.74 in

prejudgment interest to the Commission.

4. Pursuant to 17 C.F.R. 201.600, Collins must pay the Commission \$73.78 in additional prejudgment interest to the date of the entry of this Consent Judgment.

5. Payments of the disgorgement and prejudgment interest amounts shall be: (i) made by United States postal money order, certified check, bank cashier's check, or bank money order; (ii) made payable to the Securities and Exchange Commission; (iii) mailed or delivered by hand to the Office of Financial Management, Securities and Exchange Commission, 100 F Street, NE, Mail Stop 6042, Washington, DC 20549; and (iv) submitted under cover letter that references Collins's full name and the file number of the administrative proceeding below (Admin. Proc. File No. 3-13532). A copy of the cover letter and check shall be sent to Alix Biel, Division of Enforcement, Securities and Exchange Commission, 3 World Financial Center, 4th Floor, New York, NY 10281-1022.

6. This Court shall retain jurisdiction over this matter and the Consent Judgment to enforce its terms.

**IT IS SO ORDERED.**

Dated: June 4, 2013

KLH

CIRCUIT JUDGE

BS

CIRCUIT JUDGE

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CIRCUIT JUDGE

UNITED STATES COURT OF APPEALS  
FOR THE D.C. CIRCUIT