

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 66682 / March 29, 2012

ADMINISTRATIVE PROCEEDING
File No. 3-14819

In the Matter of

GARY J. YOCOM,

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 Gary J. Yocom (“Yocom” 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. Yocom was a registered representative at Thomas Anthony & Associates, Inc. ("Thomas Anthony"), a broker-dealer registered with the Commission and located in Winter Park, Florida. Yocom, 45 years old, is a resident of Altamonte Springs, Florida.

2. On January 19, 2012, a final judgment was entered by consent against Yocom, permanently enjoining him from future violations of Sections 5(a) and 5(c) of the Securities Act of 1933 in the civil action titled *Securities and Exchange Commission v. Daniel E. Ruettiger, et al.*, Case Number 2:11-cv-02011-GMN-VCF, in the United States District Court for the District of Nevada – Las Vegas.

3. The Commission's complaint alleged that, in connection with a scheme to distribute unregistered securities of Rudy Nutrition ("RUNU") in 2008:

- a) Yocom facilitated the deposit of shares of RUNU common stock into brokerage accounts at Thomas Anthony;
- b) These shares were unregistered and not subject to a valid exemption from registration; and
- c) Yocom sold these shares on behalf of clients of Thomas Anthony; and
- d) Yocom failed to conduct a reasonable inquiry into the registration status of the shares before selling them.

IV.

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

Accordingly, it is hereby ORDERED pursuant to Section 15(b)(6) of the Exchange Act that Respondent Yocom be, and hereby is barred from association with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization with the right to apply for reentry after 3 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