

UNITED STATES OF AMERICA
Before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 62244 / June 8, 2010

INVESTMENT ADVISERS ACT OF 1940
Release No. 3036 / June 8, 2010

ADMINISTRATIVE PROCEEDING
File No. 3-13931

In the Matter of

Robert Tringham,

Respondent.

**ORDER INSTITUTING
ADMINISTRATIVE PROCEEDINGS
PURSUANT TO SECTION 15(b) OF THE
SECURITIES EXCHANGE ACT OF 1934
AND SECTION 203(f) OF THE
INVESTMENT ADVISERS ACT OF 1940,
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”) and Section 203(f) of the Investment Advisers Act of 1940 (“Advisers Act”) against Robert Tringham (“Tringham” 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 them 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 and Section 203(f) of the Investment Advisers Act of 1940, 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. Tringham held himself out as the president, chief executive officer, secretary, and chief financial officer of Finbar Securities Corp. (“Finbar”), a California corporation, based in West Covina, California. Tringham also described himself as the “manager” and “branch manager” of the Finbar office in West Covina. Tringham, 64 years old, was a resident of Diamond Bar, California during the relevant period.

2. On May 11, 2010, a judgment was entered by consent against Tringham, permanently enjoining him from future violations of Section 17(a) of the Securities Act of 1933, Sections 10(b) and 15(a) of the Exchange Act and Rule 10b-5 thereunder, and Sections 206(1) and 206(2) of the Advisers Act, in the civil action entitled Securities and Exchange Commission v. Finbar Securities Corp., et al., Civil Action Number CV 09-2325 ODW (VBKx), in the United States District Court for the Central District of California.

3. The Commission’s complaint alleged that Tringham and Finbar were fraudulently operating as an unregistered broker-dealer by issuing account statements to investors which falsely represented that Respondent was “a licensed Securities Dealer,” displayed the NASD logo despite the fact that the use of the NASD name ceased in July 2007, referenced a clearing firm that is no longer in operation, and cited to non-existent CUSIP numbers purportedly representing the investor’s securities holdings, and otherwise engaged in a variety of conduct which operated as a fraud and deceit on investors. Tringham and Finbar raised at least \$9.6 million from at least eight investors, including six investors outside the United States.

IV.

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

Accordingly, it is hereby ORDERED:

Pursuant to Section 15(b)(6) of the Exchange Act and Section 203(f) of the Advisers Act, that Respondent Tringham be, and hereby is barred from association with any broker, dealer, or investment adviser.

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.

For the Commission, by its Secretary, pursuant to delegated authority.

Elizabeth M. Murphy
Secretary