

**BEFORE THE SECURITIES COMMISSIONER
OF THE STATE OF KANSAS**

In the Matter of:

DANNY M. MOORE,

Docket No. 10 E 014
K.S.C. 2008-5451

Respondent.

_____/
Pursuant to K.S.A. 17-12a604

STIPULATION FOR CONSENT ORDER

This proceeding follows an investigation conducted by the Office of the Kansas Securities Commissioner. As a result of this investigation, a Complaint/Information and Affidavit were filed in Johnson County, Kansas, [Case No. 09-CR-1987] charging allegations of fact and conclusions of law. On October 20, 2009, pursuant to a plea agreement, Respondent pled guilty to Count 7 of the Complaint/Information, which stated as follows:

That on or about May 31, 2006, in Johnson County, Kansas, the Defendant, Danny M. Moore, did then and there, contrary to the statutes of the State of Kansas, unlawfully, feloniously, and intentionally, either directly or indirectly, in connection with the offer or sale of securities to Beatrice S. Peterson, make an untrue statement of a material fact and/or omit to state a material fact necessary in order to make a statement made, in the light of the circumstances under which it is made, not misleading. That this course of business all occurred in violation of K.S.A. 17-12a501(2), a severity level 7, nonperson felony [resulting in a loss of less than \$25,000], defined as general fraud, commonly known as securities fraud.

The factual basis for the charge was stated as follows:

(a) On or about May 31, 2006, based upon Respondent's recommendation, Peterson issued a check to Moore Financial Management, in the amount of \$20,000.00, to increase her investment in the Strasburg school bond and purchase a Stet [Missouri] school bond. The memo section of the check states "school bond."

(b) The transaction referenced above occurred at Respondent's office in Overland Park, Johnson County, Kansas.

(c) Said check was deposited by Respondent into his business account, and subsequently, used for personal benefit. There is no evidence that a bond was purchased.

(d) The Superintendent of the Stet, Missouri, School District, Mr. Tom Challander, advised that Stet had no outstanding bond issues and stated that he did not think any bonds had been issued for several years.

(e) Respondent did not disclose to Peterson the existence of the disciplinary orders issued by the Office of the Kansas Securities Commissioner and the Kansas Insurance Department.

(f) A review of Respondent's bank accounts found that none of Peterson's funds were invested in school bonds or, in fact, in any type of investment.

(g) Respondent advised Peterson that the above-referenced investments in school bonds were free from state and federal taxes; however, Peterson was advised by her accountant that these investments were not tax-free.

(h) In early 2008, Peterson's husband contacted Respondent to request written information on the investments. In return, he received a one page document listing four (4) school bond investments.

(i) On or about December 8, 2008, Respondent provided Peterson with a handwritten letter confessing that the school bonds did not exist. Instead, he said that he put the money into CD's that would "mirror" the bond return. Respondent's letter states that Peterson's "money is doing well" and making 6% in his "promissory account." Again, he advises the investment is "tax-free."

(j) From February through May 2009, Respondent returned Peterson's investment monies, via four (4) payments, with 6% interest. Bank records indicate that monies from subsequent investors were used to pay Peterson, commonly known as Ponzi payments.

The Respondent, Danny M. Moore, wishing to obtain a disposition of the above-captioned matter without invoking his right to a hearing, and as a term of the Plea Agreement, has determined not to contest the issuance of the attached Consent Order based on the above-referenced allegations.

IT IS THEREFORE STIPULATED AND AGREED by and between Respondent Danny M. Moore and the staff of the Office of the Kansas Securities Commissioner that:

1. The attached Consent Order may be issued by the Securities Commissioner of Kansas without further proceedings.
2. Respondent waives his right to any hearing prior to issuance of the attached Consent Order on the basis of the referenced allegations.
3. Respondent agrees to be barred from association with any broker-dealer, agent, investment adviser or investment adviser representative registered under the Kansas Uniform Securities Act.

APPROVED BY:

/s/ Danny M. Moore
Danny M. Moore
Respondent

12/18/2009
Date

This Stipulation for Consent Order was signed before me on the 18th day of December, 2009, by Danny M. Moore.

/s/ Angela J. Grunwald
Notary Public

My Appointment Expires: 9/27/2016

APPROVED BY:

/s/ Gail Bright
Gail E. Bright, #14572
Associate General Counsel
Office of the Kansas Securities Commissioner
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Topeka, Kansas 66603
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12/18/2009
Date

/s/ Roger Walter
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Attorney for Respondent

12/18/2009
Date