

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 84133 / September 14, 2018

INVESTMENT ADVISERS ACT OF 1940
Release No. 5014 / September 14, 2018

Admin. Proc. File No. 3-15900

In the Matter of

JOHN J. BRAVATA AND ANTONIO M. BRAVATA

**ORDER VACATING INVESTMENT ADVISER, MUNICIPAL SECURITIES DEALER,
MUNICIPAL ADVISOR, TRANSFER AGENT, AND NATIONALLY RECOGNIZED
STATISTICAL RATING ORGANIZATION BARS**

John J. Bravata and Antonio M. Bravata seek to vacate an order, dated January 16, 2015 (the “Order”), to the extent that it bars them from association with an investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization.¹ The bars at issue were imposed based solely on conduct occurring prior to July 22, 2010, the effective date of the Dodd-Frank Wall Street Reform and Consumer Protection Act.² Accordingly, in our discretion, we vacate the Order to the extent it prohibits John J. Bravata and Antonio M. Bravata from associating with an investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization, but otherwise leave the Order unmodified.

By the Commission.

Brent J. Fields
Secretary

¹ See *John J. Bravata and Antonio M. Bravata*, Initial Decision Release No. 737, 2015 WL 220986 (Jan. 16, 2015); Exchange Act Release No. 74396, 2015 WL 847384 (Feb. 27, 2015) (finality notice).

² See *Bartko v. SEC*, 845 F.3d 1217, 1225 (D.C. Cir. 2017); Commission Statement Regarding Decision in *Bartko v. SEC* (Feb. 23, 2017), available at <https://www.sec.gov/news/statement/commission-statement-regarding-bartko-v-sec.html>.