

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940  
Release No. 6275 / April 6, 2023

Admin. Proc. File No. 3-14484

In the Matter of  
JEFFREY YOKUTY

ORDER VACATING BROKER, DEALER, MUNICIPAL SECURITIES DEALER, AND  
TRANSFER AGENT BARS

Jeffrey Yokuty seeks to vacate an order, dated July 22, 2011 (the “Order”), to the extent that it bars him from association with a broker, dealer, municipal securities dealer, or transfer agent, subject to a right to reapply after three years.<sup>1</sup> The bars at issue were imposed based solely on conduct occurring before July 22, 2010, the effective date of the Dodd-Frank Wall Street Reform and Consumer Protection Act.<sup>2</sup> Accordingly, in our discretion, we vacate the Order to the extent it prohibits Jeffrey Yokuty from associating with a broker, dealer, municipal securities dealer, or transfer agent, subject to a right to reapply after three years, but otherwise leave the Order unmodified.

By the Commission.

Vanessa A. Countryman  
Secretary

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<sup>1</sup> See *Jeffrey Yokuty*, Advisers Act Release No. 3250, 2011 WL 2956679 (July 22, 2011).

<sup>2</sup> 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>.