

3-16706

Ad's

REQUEST TO VACATE COLLATERAL BAR(S) IN LIGHT OF BARTKO V. SEC

RECEIVED
JUL 18 2019
OFFICE OF THE SECRETARY

Summary:


1. As a result of the decision of the United States Court of Appeals for the District of Columbia Circuit, the Securities and Exchange Commission has determined to grant requests to vacate collateral bars from industries with which the individual was not associated or not seeking to associate at or her securities law violation) that were imposed against individuals based entirely on conduct before the effective date of the Dodd-Frank Wall Street Reform and Consumer Protection Act (J
2. The Commission has established an expedited program for eligible individuals to request that their bars be vacated through the completion of this form.
3. This program applies only to collateral bars imposed based solely upon pre-Dodd-Frank misconduct. If you determine that you are eligible for relief under the program, all other bars and/or suspensions that are subject would remain in place.
4. If you attempt to associate in a new capacity in the securities industry in the future, the Commission will initiate a separate follow-on proceeding to determine whether to impose any remedial sanctions under the

Instructions:

1. To make a request that the Commission vacate your collateral bars, you must complete this form and provide the information sought below. Completing the form will facilitate the Commission's determination for the program. Do not submit any additional materials with this form. If the Commission determines that it needs additional information to determine your request, it will notify you.
2. Send three copies of your completed form to the following address:
Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, N.E.
Washington, D.C. 20549-1090
3. You will be notified of the Commission's determination of your request at the address you provide.

Information to be provided by affected individual:

Name: SACHIN KUMAR UPPAL

Address: 

I am subject to a collateral bar based solely on conduct that occurred before July 22, 2010. Yes No

Date of order imposing bar: 12-1-2015

Signature: 

Dated: 7-1-2019