

UNITED STATES OF AMERICA  
before the  
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940  
Release No. 6274 / April 6, 2023

Admin. Proc. File No. 3-16722

In the Matter of  
ERIC A. BLOOM

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

Eric A. Bloom seeks to vacate an order, dated December 23, 2015 (the “Order”), to the extent that it bars him from association with a broker, dealer, municipal securities dealer, or transfer agent.<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 Eric A. Bloom from associating with a broker, dealer, municipal securities dealer, or transfer agent, but otherwise leave the Order unmodified.

By the Commission.

Vanessa A. Countryman  
Secretary

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<sup>1</sup> See *Eric A. Bloom*, Advisers Act Release No. 4303, 2015 WL 9311908 (Dec. 23, 2015).

<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>.