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. The bars at issue were imposed solely on conduct occurring prior to July 22, 2010, the effective date of the Dodd-Frank Wall Street Reform and Consumer Protection Act. 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

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