UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 84134 / September 14, 2018

INVESTMENT ADVISERS ACT OF 1940
Release No. 5015 / September 14, 2018

INVESTMENT COMPANY ACT OF 1940
Release No. 33231 / September 14, 2018

Admin. Proc. File No. 3-14520

In the Matter of
MATTHEW CRISP

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

Matthew Crisp seeks to vacate an order, dated August 30, 2012 (the “Order”), to the extent that it bars him from association with a broker, dealer, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization, subject to a right to reapply after one year. 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. Accordingly, in our discretion, we vacate the Order to the extent it prohibits Matthew Crisp from associating with a broker, dealer, municipal securities dealer, municipal advisor, transfer agent or nationally recognized statistical rating organization, subject to a right to reapply after one year, but otherwise leave the Order unmodified.

By the Commission.

Brent J. Fields
Secretary

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