

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 86310 / July 5, 2019

Admin. Proc. File No. 3-15819

In the Matter of

ALAN SHEINWALD

**ORDER VACATING INVESTMENT ADVISER, MUNICIPAL SECURITIES DEALER,
AND TRANSFER AGENT BARS**

Alan Sheinwald seeks to vacate an order, dated April 2, 2014 (the “Order”), to the extent that it bars him from association with an investment adviser, municipal securities dealer, or transfer agent, subject to a right to reapply after two years.¹ 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.² Accordingly, in our discretion, we vacate the Order to the extent it prohibits Alan Sheinwald from associating with an investment adviser, municipal securities dealer, or transfer agent, subject to a right to reapply after two years, but otherwise leave the Order unmodified.

By the Commission.

Vanessa A. Countryman
Secretary

¹ See *Alan Sheinwald and Alliance Advisors LLC*, Securities Exchange Act Release No. 71847, 2014 WL 1309105 (Apr. 2, 2014).

² 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>.