UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 5277 / July 2, 2019

Admin. Proc. File No. 3-16335

In the Matter of

DUANE HAMBLIN SLADE

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

Duane Hamblin Slade seeks to vacate an order, dated May 26, 2015 (the “Order”), to the extent that it bars him from association with a broker, dealer, municipal securities dealer, or transfer agent.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 Duane Hamblin Slade 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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1 See Duane Hamblin Slade, Initial Decision Release No. 799, 2015 WL 2457670 (May 26, 2015). We previously vacated bars from associating with a municipal advisor and a nationally recognized statistical rating organization that were imposed in the Order. Duane Hamblin Slade, Advisers Act Release No. 4298, 2015 WL 9268719 (Dec. 21, 2015) (Order Modifying Sanctions and Notice that Initial Decision, as Modified, Has Become Final).