

REQUEST TO VACATE COLLATERAL BAR(S) IN LIGHT OF BARTKO V. SEC

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JUL 18 2018

3-17226

OFFICE OF THE SECRETARY

Summary:

1. As a result of the decision of the United States Court of Appeals for the District of Columbia Circuit in *Bartko v. SEC*, the Securities and Exchange Commission has determined to grant requests to vacate collateral bars (i.e., bars from industries with which the individual was not associated or not seeking to associate at the time of his or her securities law violation) that were imposed against individuals based entirely on conduct that occurred before the effective date of the Dodd-Frank Wall Street Reform and Consumer Protection Act (July 22, 2010).
2. The Commission has established an expedited program for eligible individuals to request that their collateral bars be vacated through the completion of this form.
3. This program applies only to collateral bars imposed based solely upon pre-Dodd-Frank misconduct. If we determine that you are eligible for relief under the program, all other bars and/or suspensions to which you are subject would remain in place.
4. If you attempt to associate in a new capacity in the securities industry in the future, the Commission may bring a separate follow-on proceeding to determine whether to impose any remedial sanctions under existing law.

Instructions:

1. To make a request that the Commission vacate your collateral bars, you must complete this form by providing all information sought below. Completing the form will facilitate the Commission's determination of your eligibility for the program. Do not submit any additional materials with this form. If the Commission determines that it needs additional information to determine your request, it will notify you.
2. Send three copies of your completed form to the following address:
Office of the Secretary
U.S. Securities and Exchange Commission
100 F Street, N.E.
Washington, D.C. 20549-1090
3. You will be notified of the Commission's determination of your request at the address you provide below.

Information to be provided by affected individual:

Name: Eric D. Wanger

Address: [REDACTED]

I am subject to a collateral bar based solely on conduct that occurred before July 22, 2010. Yes No

Date of order imposing bar: July 2, 2012

Signature: [REDACTED]

Dated: July 16, 2018

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Jonathan A. Roberts
Direct (646) 755-3179
Fax (646) 434-1362
jar@msf-law.com

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November 6, 2018

Mr. Brent J. Fields
Secretary
United States Securities and Exchange Commission
100 F Street, NE
Washington D.C. 20549

Re: Eric D. Wanger – Bartko Collateral Bar

Dear Mr. Fields:

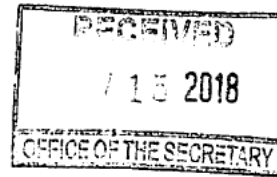
This firm represents Eric D. Wanger. Mr. Wanger was the subject of an SEC order on July 2, 2012 which included a collateral bar based solely on conduct before July 22, 2010. In 2016, Mr. Wanger, through his prior counsel, submitted to the Secretary's office the Commission's form for relief pursuant to SEC v. Bartko. On March 1, 2018, the Commission acknowledged this request as pending in its brief to the Seventh Circuit Court of Appeals. *Wanger v. SEC*, Case. No.17-2868 (Page 39, fn.18). It has been more than two years since this application was submitted. Mr. Wanger has had no response and respectfully requests this relief be granted (Mr. Wanger also resubmitted his Bartko request in 2018).¹

We appreciate the attention to his application. If you have any questions or require further assistance, please do not hesitate to call me at 646-755-3179.

Sincerely,


Jonathan A. Roberts

¹ Separately, Mr. Wanger has submitted a pending application to reassociate, which is unrelated to his request under the Bartko decision.



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November 6, 2018

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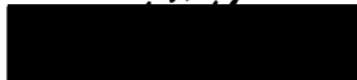
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