

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 78487 / August 5, 2016

Admin. Proc. File No. 3-16972

In the Matter of

BRETT A. COOPER

NOTICE THAT INITIAL DECISION HAS BECOME FINAL

The time for filing a petition for review of the initial decision in this proceeding has expired. No such petition has been filed by Brett A. Cooper and the Commission has not chosen to review the decision on its own initiative.

Accordingly, notice is hereby given, pursuant to Rule 360(d) of the Commission's Rules of Practice,¹ that the initial decision of the administrative law judge has become the final decision of the Commission with respect to Brett A. Cooper.² The order contained in that decision is hereby declared effective. The initial decision ordered that, under Section 15(b)(6) of the Securities Exchange Act of 1934, Brett A. Cooper is barred from associating with a broker, dealer, investment adviser, municipal securities dealer, municipal adviser, transfer agent, or nationally recognized statistical rating organization.

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Brent J. Fields
Secretary

¹ 17 C.F.R. § 201.360(d).

² *Brett A. Cooper*, Initial Decision Release No. 1020 (June 6, 2016), 114 SEC Docket 06, 2016 WL 3137768.