

UNITED STATES OF AMERICA  
Before the  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

ADMINISTRATIVE PROCEEDINGS RULINGS  
Release No. 5458/January 12, 2018

ADMINISTRATIVE PROCEEDING  
File No. 3-17693

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In the Matter of

SEAN P. FINN and  
M. DWYER LLC

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: ORDER  
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The Securities and Exchange Commission instituted this proceeding with an Order Instituting Proceedings on November 21, 2016, pursuant to Section 15(b) of the Securities Exchange Act of 1934. On April 21, 2017, an Initial Decision Making Findings and Imposing Sanction by Default barred Sean P. Finn and M. Dwyer LLC from the securities industry. *Sean P. Finn*, Initial Decision Release No. 1126, 2017 SEC LEXIS 1200 (A.L.J.).

The undersigned has completed the reexamination of the record as ordered by the Commission's November 30, 2017, order concerning administrative proceedings. *Pending Admin. Proc.*, Securities Act of 1933 Release No. 10440, 2017 SEC LEXIS 3724 (Remand Order). As the parties were previously notified, the Remand Order ratified the appointment of the undersigned as an Administrative Law Judge and directed her to “[r]econsider the record, including all substantive and procedural actions taken by an administrative law judge” and “[d]etermine . . . whether to ratify or revise . . . all prior actions” in proceedings, such as this one, pending before the Commission in which she has issued an initial decision. *Id.* at \*3; *see Sean P. Finn*, Admin. Proc. Rulings Release No. 5390, 2017 SEC LEXIS 4111 (A.L.J. Dec. 15, 2017). As required by the Remand Order, the parties were invited “to submit any new evidence [they deem] relevant to the [undersigned’s] reexamination of the record” by January 5, 2018. *Id.* No party submitted such new evidence. The undersigned has reconsidered the record and determined to ratify “all prior actions.”<sup>1</sup> The process required by the Remand Order has been completed.

IT IS SO ORDERED.

/S/ Carol Fox Foelak  
Carol Fox Foelak  
Administrative Law Judge

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<sup>1</sup> Previously, the Chief Administrative Law Judge ratified her designation of the undersigned as the presiding administrative law judge in this proceeding. *Sean P. Finn*, Admin. Proc. Rulings Release No. 4384, 2016 SEC LEXIS 4350 (C.A.L.J. Nov. 22, 2016); *Pending Admin. Proc.*, Admin. Proc. Rulings Release No. 5247, 2017 SEC LEXIS 3780 (C.A.L.J. Dec. 4, 2017).