

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Rel. No. 66173 / January 18, 2012

Admin. Proc. File No. 3-14618

In the Matter of the Application of

KEATH ALLEN WARD

For Review of Disciplinary Action Taken by

FINRA

CORRECTED ORDER
DISMISSING
APPLICATION FOR
REVIEW

On November 9, 2011, Keath Allen Ward, formerly a registered representative associated with CFD Investments, Inc. ("CFD"), a FINRA member firm, filed an application for review of a FINRA disciplinary action. FINRA barred Ward pursuant to FINRA Rule 9552(h)¹ for failing to respond to a request to provide information pursuant to Rule 8210.² In his application for review, Ward appealed his suspension and bar. Ward represented that he had responded to FINRA information requests in November 2010. Ward stated that he subsequently had gone through a contested divorce and moved from his residence. He further stated that he had not received any subsequent letter from FINRA and wanted "the chance to clear this matter up."

On December 21, 2011, FINRA filed with the Commission a "Motion to Dismiss Application for Review and to Stay Briefing Schedule." In its motion, FINRA states that, by letter dated December 14, 2011, FINRA terminated the suspension and vacated the bar imposed on Ward to afford him the opportunity to provide the requested information to FINRA. FINRA accordingly asserts that Ward's application for review is now moot and requests that the

¹ FINRA Rule 9552(h) provides that, if FINRA suspends a person subject to FINRA's jurisdiction who fails to provide information and that person subsequently fails to request termination of the suspension within three months, that person will be automatically barred.

² FINRA Rule 8210 requires persons associated (or formerly associated) with a member firm to provide information with respect to any matter related to an investigation, complaint, or proceeding.

Commission dismiss the application for review. Under the circumstances, we find it appropriate to grant FINRA's motion to dismiss Ward's application for review.

Accordingly, it is ORDERED that Keath Allen Ward's application for review be, and it hereby is, dismissed; and it is further

ORDERED, that the briefing schedule order issued December 1, 2011 be, and it hereby is, rescinded.

By the Commission.

Elizabeth M. Murphy
Secretary