

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 101863 / December 10, 2024

Admin. Proc. File No. 3-22099

In the Matter of the Application of
SEBASTIAN G. BONGIOVANNI
For Review of Action Taken by
FINRA

ORDER DISMISSING PROCEEDINGS

On September 5, 2024, Sebastian G. Bongiovanni filed an application for review of action taken against him by FINRA. FINRA barred Bongiovanni pursuant to FINRA Rule 9552¹ for failing to respond to a request to provide information pursuant to Rule 8210.²

On November 5, 2024, FINRA filed a motion to dismiss the application for review.³ FINRA states that, on November 1, 2024, it vacated the bar that Bongiovanni challenges in his application for review. FINRA argues that the appeal should therefore be dismissed as moot.

¹ FINRA Rule 9552(h) provides that, if FINRA suspends a person 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, examination, or proceeding.

³ On November 8, 2024, the Commission extended the briefing schedule until the Commission ruled on FINRA's motion to dismiss. *Sebastian G. Bongiovanni*, Exchange Act Release No. 101567, 2024 WL 4723197, at *1 (Nov. 8, 2024).

Bongiovanni did not file a response. Under the circumstances, we find it appropriate to grant FINRA's motion to dismiss Bongiovanni's application for review.⁴

Accordingly, IT IS ORDERED, that the application for review is dismissed.

By the Commission.

Vanessa A. Countryman
Secretary

⁴ See *Keath Allen Ward*, Exchange Act Release No. 66173, 2012 WL135298 (Jan. 18, 2012) (dismissing an application for review of disciplinary action by FINRA where FINRA had vacated the bar that formed the basis for the application for review).