

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 102501 / February 27, 2025

Admin. Proc. File No. 3-22326

In the Matter of the Application of
WOOD (ARTHUR W.) COMPANY, INC.
For Review of Action Taken by
FINRA

ORDER DISMISSING PROCEEDINGS

On November 15, 2024, Wood (Arthur W.) Company, Inc. (“Wood”), filed an application for review of action taken against it by FINRA. FINRA expelled Wood from FINRA membership under FINRA Rule 9552¹ for failing to file certain periodic reports as required by Exchange Act Rule 17a-5.²

On December 4, 2024, FINRA filed a motion to dismiss the application for review. FINRA states that, on December 3, 2024, it vacated the expulsion that Wood challenges in its 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 See 17 C.F.R. § 240.17a-5 (specifying periodic filing requirements applicable to registered broker-dealers).

Wood did not file a response. Under the circumstances, we find it appropriate to grant FINRA's motion to dismiss Wood's application for review.³

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

By the Commission.

Vanessa A. Countryman
Secretary

³ See *Sebastian G. Bongiovanni*, Exchange Act Release No. 101863, 2024 WL 5088777, at *1 (Dec. 10, 2024) (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); *Keath Allen Ward*, Exchange Act Release No. 66173, 2012 WL135298 (Jan. 18, 2012) (same).