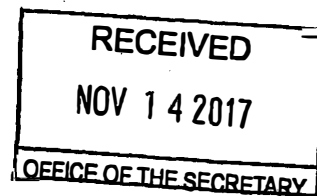


UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION



3-18283

In the Matter of the Application of,

PATRICK DOWD,

Matter No. 20160508617-01

For Review of the Action Taken by,

FINRA.

APPLICATION FOR REVIEW

PATRICK DOWD, files this appeal from a FINRA order barring him from associating with any FINRA member in any capacity, dated March 27, 2017, and in support thereof, states the following:

1.o Dowd received a certified letter from FINRA on August 11, 2016, requesting certain documents pertaining to his former employment with Pruco Securities, LLC ("Pruco").

2.o Dowd's employment with Pruco was severed prior to his receipt of the letter from FINRA, and therefore, Dowd did not have possession, custody, or control of the documents requested by FINRA.


3.o Dowd contacted Pruco on numerous occasions regarding the requested information and documents pertaining to allegations made against him, however, Pruco refused to provide them to Dowd.

4.o As a result of Dowd's inability to respond to FINRA's requests due to the fact that he did not possess the information requested by FINRA, FINRA provided a notification to Dowd on or about March 27, 2017 indicating that he was barred from associating with any FINRA

member in any capacity. FINRA's decision to bar Dowd was not based on substantive findings, and therefore, is not supported by competent, substantial evidence.

WHEREFORE, Dowd requests that this tribunal reverse FINRA's decision to bar him from associating with any FINRA member.

RESPECTFULLY SUBMITTED this 7th day of November, 2017.




Patrick Dowd

CERTIFICATE OF SERVICE

I HEREBY CERTIFY that on this 7th day of November, 2017, a true and correct copy of the foregoing has been furnished to the following:

Office of the Secretary
U.S . Securities and Exchange Commission
100 F Street, NE
Mail Stop 1090
Washington, DC 20549

Alan Lawhead, Esq.
Office of General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006



Patrick Dowd