

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

INVESTMENT ADVISERS ACT OF 1940
Release No. 3916 / September 11, 2014

Admin. Proc. File No. 3-15671

In the Matter of

PATRICK G. ROONEY

NOTICE THAT INITIAL DECISION HAS BECOME FINAL

The time for filing a petition for review of the initial decision in this proceeding has expired. No such petition has been filed by Patrick G. Rooney and the Commission has not chosen to review the decision on its own initiative.

Accordingly, notice is hereby given, pursuant to Rule 360(d) of the Commission's Rules of Practice,¹ that the initial decision of the administrative law judge² has become the final decision of the Commission with respect to Patrick G. Rooney. The order contained in that

¹ 17 C.F.R. § 201.360(d).

² *Patrick G. Rooney*, Initial Decision Release No. 638 (July 22, 2014), 109 SEC Docket 08, 2014 WL 3588060.

decision is hereby declared effective. The initial decision ordered that, pursuant to Section 203(f) of the Investment Advisers Act of 1940, Patrick G. Rooney is barred from associating with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization.

For the Commission, by the Office of the General Counsel, pursuant to delegated authority.

Jill M. Peterson
Assistant Secretary