

UNITED STATES OF AMERICA
before the
SECURITIES AND EXCHANGE COMMISSION

SECURITIES EXCHANGE ACT OF 1934
Release No. 90871 / January 7, 2021

Admin. Proc. File No. 3-17693

IN THE MATTER OF

SEAN P. FINN AND M. DWYER LLC

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 Sean P. Finn, M. Dwyer LLC, or the Division of Enforcement, 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 judge has become the final decision of the Commission with respect to Sean P. Finn and M. Dwyer LLC.² The orders contained in that decision are hereby declared effective. The initial decision ordered that: (a) pursuant to Section 15(b) of the Securities Exchange Act of 1934, Sean P. Finn and M. Dwyer LLC are barred from associating with any broker, dealer, investment adviser, municipal securities dealer, municipal advisor, transfer agent, or nationally recognized statistical rating organization; and (b) pursuant to Section 15(b) of the Securities Exchange Act of 1934, Sean P. Finn and M. Dwyer LLC are barred from participating in an offering of penny stock, including acting as a promoter, finder, consultant, agent, or other person who engages in activities with a broker, dealer, or issuer for purposes of the issuance or trading in any penny stock, or inducing or attempting to induce the purchase or sale of any penny stock.

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

Vanessa A. Countryman
Secretary

¹ 17 C.F.R. § 201.360(d).

² *Sean P. Finn and M. Dwyer LLC*, Initial Decision Release No. 1396, 2020 WL 927453 (Feb. 18, 2020).