

**NASD
OFFICE OF HEARING OFFICERS**

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

TOMY VUKSANAJ
(CRD No. 4267663),

Respondent.

Disciplinary Proceeding
No. 20060042995-01

Hearing Officer

COMPLAINT

Upon information and belief, the Department of Enforcement ("Complainant") alleges as follows:

JURISDICTION

1. Respondent Tomy Vuksanaj ("Vuksanaj") first became registered as a General Securities Representative ("GSR") in November 2000 through his association with an NASD member firm.
2. From June 12, 2003 through January 5, 2006, Vuksanaj was employed by Chase Investment Securities Corp. (BD No. 25574) ("CISC"). Vuksanaj was registered as a GSR with NASD through his association with CISC from July 3, 2003 through January 5, 2006
3. Vuksanaj was a personal banker employed by the firm's bank affiliate, and worked within a bank branch in New York City.

4. On February 3, 2006, CISC filed a Uniform Termination Notice for Securities Industry Registration ("Form U-5") terminating Vuksanaj's registration. According to the Form U-5, Vuksanaj's last date of employment was January 5, 2006.
5. Upon information and belief, Vuksanaj is not currently registered with NASD, nor is he otherwise employed in the securities industry. However, Vuksanaj remains subject to the jurisdiction of NASD pursuant to Article V, Section 4 of its By-Laws.

FIRST CAUSE OF COMPLAINT
(Conversion)
Violation of NASD Conduct Rule 2110

6. Paragraphs 1 through 5 of this Complaint are re-alleged and incorporated herein by reference.
7. Customers SF and LJ had separate bank accounts with CISC's bank affiliate.
8. From in or around December 2004 through in or around December 2005, while he was registered with NASD, Vuksanaj converted monies from SF and LJ, by:
 - a. completing bank account withdrawal slips that purported to be from SF and LJ;
 - b. forging their signatures on such slips; and
 - c. effectuating the withdrawals from their bank accounts at teller windows in the bank branch at which he worked.
9. Specifically, Vuksanaj:
 - a. converted \$51,000 from LJ without LJ's knowledge, consent, or authorization; and
 - b. converted \$32,600 from SF without SF's knowledge, consent, or authorization.

By reason of the foregoing, Respondent violated NASD Conduct Rule 2110.

SECOND CAUSE OF COMPLAINT
(Falsification/Forgery)
Violation of NASD Conduct Rule 2110

10. Paragraphs 1 through 9 of this Complaint are re-alleged and incorporated herein by reference.
11. Without customers SF and LJ's knowledge, consent, or authorization, from in or around December 2004 through in or around December 2005, Vuksanaj:
- a. completed bank account withdrawal slips that purported to be from SF and LJ, and
 - b. forged their signatures on such slips.

By reason of the foregoing, Vuksanaj violated NASD Conduct Rule 2110.

PRAYER FOR RELIEF

WHEREFORE, Complainant respectfully requests that the Panel:

- A. order that one or more of the sanctions provided under NASD Rule 8310(a) be imposed;
- B. order that the Respondent bear such costs of proceeding as are deemed fair and appropriate under the circumstances in accordance with NASD Rule 8330.

Dated: December 19, 2006

DEPARTMENT OF ENFORCEMENT



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