

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS**

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REGISTRATION & DISCLOSURE

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

JAMES WHITFIELD ROBISON,
(CRD No. 4663951)

Respondent.

Disciplinary Proceeding
No. 2008014895001

Hearing Officer: SNB

ORDER ACCEPTING OFFER OF SETTLEMENT

INTRODUCTION

Disciplinary Proceeding No. 2008014895001 was filed on September 3, 2009, by the Department of Enforcement (Complainant) of the Financial Industry Regulatory Authority (FINRA). Respondent James Whitfield Robison (Robison) submitted an Offer of Settlement (Offer) to Complainant on November 12, 2009. Pursuant to FINRA Rule 9270(e), the Complainant and the National Adjudicatory Council (NAC), a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs (ODA) have accepted the uncontested Offer. Accordingly, this Order now is issued pursuant to FINRA Rule 9270(e)(3). The findings, conclusions and sanctions set forth in this Order are those stated in the Offer as accepted by the Complainant and approved by the NAC.

Under the terms of the Offer, Respondent Robison has consented, without admitting or denying the allegations of the Complaint, and solely for the purposes of this proceeding and any other proceeding brought by or on behalf of FINRA, or to which FINRA is a party, to the entry of findings and violations consistent with the allegations of the Complaint, and to the imposition of the sanctions set forth below, and fully understands that this Order will become part of Respondent Robison's permanent disciplinary record and may be considered in any future actions brought by FINRA.

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BACKGROUND

James Whitfield Robison was first registered as a general securities representative in July 2003, while associated with FINRA member firm Ameriprise Financial Services, Inc. (Ameriprise).¹ Robison was employed by Ameriprise from June 2003 until September 2008. Robison is not currently employed by a FINRA member but remains subject to FINRA's jurisdiction, pursuant to Article V, Section 4(a)(i) of FINRA's By-laws, until September 2010.

FINDINGS AND CONCLUSIONS

It has been determined that the Offer be accepted and that findings be made as follows:

FIRST CAUSE OF ACTION NASD Conduct Rule 2110 (Falsification of Signatures)

From December 2006 through April 2008, Robison falsified 20 customer signatures on 23 Ameriprise account-related documents, including delivery assurance forms, financial advisory agreements, brokerage cash distribution forms, account transfer forms, direct rollover forms, account transfer forms, mutual fund/certificate and exchange/transfer forms, and disability income outline of coverage forms. Robison admitted that he falsified most of the customers' signatures, without the knowledge or authorization of the customers, by tracing their signatures or reusing their signatures on other documents. Robison further admitted that he had a practice of falsifying the signatures of customers on delivery assurance forms for financial plans created after the initial plan was created and delivered because he didn't think that the customers cared whether they received the subsequent plans.

Based on the foregoing, Respondent Robison violated NASD Conduct Rule 2110.

SECOND CAUSE OF ACTION NASD Procedural Rule 8210 and Conduct Rule 2110 (Failure to Respond to FINRA's Requests)

On or about September 24, 2008, FINRA's Atlanta District Office received a Uniform Notice of Termination for Securities Industry Registration (Form U5) filed by Ameriprise on behalf of Robison.

The Form U5 alleged that Robison had falsified customer signatures on a variety of account-related documents. FINRA initiated an investigation into the allegations.

By letter dated November 12, 2008, FINRA requested, pursuant to NASD Procedural Rule 8210, that Robison provide a written statement regarding the signatures of his customers on various account-related documents. This request letter was sent to Robison, via first class mail, at his residential address as listed in the Central Registration Depository (CRD). According to the terms of the November 12, 2008 letter, Robison was requested to provide the information to FINRA no later than November 28, 2008. The November 12, 2008 letter was not returned to FINRA. Robison did not provide the requested information by the November 28, 2008 deadline.

FINRA sent a second letter to Robison on December 1, 2008, requesting once again, pursuant to NASD Procedural Rule 8210, that he provide a written statement regarding the signatures of his customers on various account related documents. This request letter was sent to Robison, via first class and certified mail, at his CRD residential address. According to the terms of the December 1, 2008 letter, Robison was requested to provide the information to FINRA no later than December 15, 2008. The December 1, 2008 letter sent by first class mail was not returned. The December 1, 2008 letter sent by certified mail was returned to FINRA, indicating that it was unclaimed. Robison failed to provide the requested information by the December 15, 2008 deadline. FINRA then conducted a LexisNexis SmartLinux search for alternative addresses for Robison. The search did not identify any other addresses for Robison, other than the one listed in CRD.

Based on the foregoing, Respondent Robison violated NASD Procedural Rule 8210 and NASD Conduct Rule 2110.

¹ Robison was also employed by IDS Life Insurance Company, an affiliate of Ameriprise, from June 2003 until July 2006.

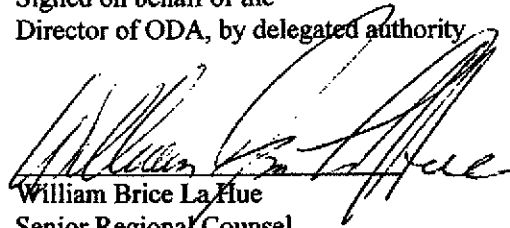
SANCTIONS

It is ordered that Respondent be barred from association with any FINRA member firm in all capacities.

The sanctions imposed herein shall be effective on a date set by FINRA staff. Pursuant to FINRA Rule 8313(e), a bar or expulsion shall become effective upon approval or acceptance of this Order.

SO ORDERED.

FINRA
Signed on behalf of the
Director of ODA, by delegated authority

A handwritten signature in black ink, appearing to read "William Brice LaHue", is written over a horizontal line.

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