

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

DEPARTMENT OF ENFORCEMENT,

Complainant,

vs.

ALEXANDER DOBRIC
(CRD No. 2684726),

Respondent.

Disciplinary Proceeding
No. 2009016953101

Hearing Officer – Andrew H. Perkins

**ORDER ACCEPTING OFFER OF
SETTLEMENT**

Date: March 25, 2010

INTRODUCTION

Disciplinary Proceeding No. 2009016935101 was filed on March 18, 2010, by the Department of Enforcement of the Financial Industry Regulatory Authority (FINRA) (Complainant). Respondent Alexander Dobric submitted an Offer of Settlement (Offer) to Complainant dated March 22, 2010. 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 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

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Respondent's permanent disciplinary record and may be considered in any future actions brought by FINRA.

BACKGROUND

In October 1996, Dobric registered with FINRA as a General Securities Representative (Series 7 license). Later that month, he acquired a Series 63 license. At various times between July 1996 and December 2004, Dobric was associated with three FINRA members.

On April 19, 2007, FINRA member TradeStation Securities, Inc. filed a Form U4 for Dobric, listing his employment date as March 20, 2007. In May 2007, Dobric reacquired Series 7 and 63 licenses. The following month, he acquired a Series 3 license. On February 10, 2009, TradeStation filed a Form U5 for Dobric, terminating his association with the firm as of January 28, 2009. Dobric currently is not associated with a FINRA member.

Dobric does not have a disciplinary history.

FINDINGS AND CONCLUSIONS

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

1. On three occasions in 2009, while registered with FINRA and associated with FINRA member TradeStation Securities, Inc., Alexander Dobric, without authorization, made false entries in the firm's computer system for the purpose of artificially increasing the purchasing power in a personal futures account that he maintained with the firm. As a result of the foregoing, Dobric violated NASD Conduct Rule 3110(a) and FINRA Rule 2010.
2. In October 1996, Dobric registered with FINRA as a General Securities Representative (Series 7 license). Later that month, he acquired a Series 63 license.
3. At various times between July 1996 and December 2004, Dobric was associated with three FINRA members.

4. On April 19, 2007, FINRA member TradeStation filed a Form U4 for Dobric, listing his employment date as March 20, 1997.

5. In May 2007, Dobric reacquired Series 7 and 63 licenses. The following month, he acquired a Series 3 license.

6. On February 10, 2009, TradeStation filed a Form U5 for Dobric, terminating his association with the firm as of January 28, 2009.

7. Dobric currently is not associated with a FINRA member, but he is still subject to FINRA's jurisdiction under Article V, Section 4 of FINRA's By-Laws.

8. On January 23, 26, and 27, 2009, Dobric day-traded futures contracts in his personal futures account with TradeStation.

9. Dobric needed to have approximately \$3,200 in his account in order to meet TradeStation's internal day-trading margin requirements for the trades that he effected on his own behalf on those days.

10. However, Dobric had equity of only approximately \$700 to \$800 in his account on those days.

11. Instead of depositing the funds necessary to cover his trading on those days, Dobric, without authorization, entered the "Edit Account Balance" section of the firm's computer system, manually increased his account balance by approximately \$2,500, and placed trades for his own account that he otherwise would not have been able to make.

12. As a result of the foregoing, Dobric caused the books and records of TradeStation to be false and inaccurate and therefore in violation of Section 17(a) of the Securities Exchange Act of 1934 and SEC Rule 17a-3.

13. In addition, by engaging in the foregoing misconduct, Dobric violated NASD Conduct Rule 3110(a) and FINRA Rule 2010.

Based on the foregoing, Respondent violated NASD Conduct Rule 3110(a) and FINRA Rule 2010.

Based on these considerations, the sanctions hereby imposed by the acceptance of the Offer are in the public interest, are sufficiently remedial to deter Respondent from any future misconduct, and represent a proper discharge by FINRA, of its regulatory responsibility under the Securities Exchange Act of 1934.

SANCTIONS

It is ordered that Respondent be suspended from association with any FINRA member in all capacities for one year and fined \$5,000.

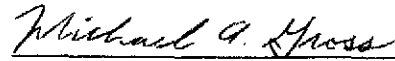
The fine shall be due and payable either immediately upon reassociation with a member firm following the one-year suspension noted above, or prior to any application or request for relief from any statutory disqualification resulting from this or any other event or proceeding, whichever is earlier.

The sanctions imposed herein shall be effective on a date set by FINRA staff.

SO ORDERED.

FINRA

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

A handwritten signature in cursive script, reading "Michael A. Gross", is positioned above a horizontal line.

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