

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

Department of Enforcement,

Complainant,

v.

Pamela Diane Warren (CRD No. 5429797),

Respondent.

Disciplinary Proceeding
No. 2009019739101

Hearing Officer - LBB

**ORDER ACCEPTING OFFER OF
SETTLEMENT**

Date: July 20, 2011

INTRODUCTION

Disciplinary Proceeding No. 2009019739101 was filed on July 6, 2011, by the Department of Enforcement of the Financial Industry Regulatory Authority (FINRA) (Complainant). Respondent Pamela Diane Warren submitted an Offer of Settlement (Offer) to Complainant dated July 12, 2011. 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 Respondent's permanent disciplinary record and may be considered in any future actions brought by FINRA.

BACKGROUND

From September 24, 2007 to September 14, 2009, Respondent was associated with Farmers Financial Solutions, LLC (the Firm). Respondent has not been associated with any other member firm.

FINDINGS AND CONCLUSIONS

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

CAUSE OF ACTION

On May 24, 2011, FINRA staff issued a letter to Respondent pursuant to FINRA Rule 8210, as part of an investigation concerning possible misappropriation of insurance premiums by Respondent while she was associated with the Firm and employed by its affiliated insurance group. The letter requested that Respondent appear at FINRA's office in Los Angeles on June 7, 2011, to provide testimony. The letter was sent by first class and certified mail to Respondent's CRD residential address in Selah, Washington, and to an alternate address identified by the staff in Bend, Oregon.

The first class and certified mailings to the CRD address were returned marked "Return to Sender, Not Deliverable as Addressed, Unable to Forward." The first class letter mailed to the Bend, Oregon address was not returned. The certified letter mailed to the Bend, Oregon address was returned marked "Return to Sender, Unclaimed, Unable to Forward."

Respondent did not appear for testimony on June 7, 2011.

On June 8, 2011, FINRA staff issued a second letter to Respondent pursuant to Rule 8210, requesting that she appear at FINRA's office in Los Angeles on June 17, 2011, to provide testimony. The letter was sent by first class and certified mail to Respondent's CRD residential address and to the alternate address in Bend, Oregon.

On June 15, 2011, Respondent contacted an Enforcement staff member and stated that she would not appear for testimony on June 17, 2011. Respondent did not, in fact, appear.

As a result of Respondent's failure to appear to provide testimony, she violated FINRA Rules 8210 and 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

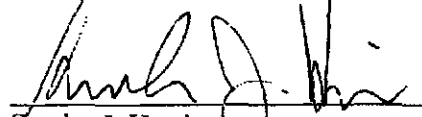
It is ordered that Respondent be barred from associating with any FINRA member in any capacity.

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 black ink, appearing to read "Sandra J. Harris", is written over a horizontal line.

Sandra J. Harris
Deputy Regional Chief Counsel
FINRA Department of Enforcement
300 South Grand Avenue, 16th Floor
Los Angeles, CA 90071
(213) 613-2601 (phone); (213) 617-1570
(fax)
Sandra.Harris@finra.org