

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 20100220253**

TO: Department of Enforcement
Financial Industry Regulatory Authority ("FINRA")

RE: John Frederick Winter, Respondent
Not currently registered
CRD No. 1321810

Pursuant to FINRA Rule 9216 of FINRA's Code of Procedure, John Frederick Winter, ("Respondent" or "Winter") submits this Letter of Acceptance, Waiver and Consent ("AWC") for the purpose of proposing a settlement of the alleged rule violations described below. This AWC is submitted on the condition that, if accepted, FINRA will not bring any future actions against Respondent alleging violations based on the same factual findings described herein.

I.

ACCEPTANCE AND CONSENT

- A. Respondent hereby accepts and consents, without admitting or denying the findings, 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, prior to a hearing and without an adjudication of any issue of law or fact, to the entry of the following findings by FINRA:

BACKGROUND

Respondent was registered with Chase Investment Services Corp. ("Chase" or "the Firm") as a Financial Advisor and General Services Representative in Westminster, Colorado from April 30, 2009 until his employment was terminated on March 8, 2010. Winter has not been associated with a FINRA regulated broker-dealer since his termination from the Firm. FINRA retains jurisdiction over Winter pursuant to Article V, Section 4(a) of the By-Laws, because the conduct that serves as the basis for this action commenced prior to his termination of registration from a FINRA regulated broker-dealer and this AWC has been filed within two years after the effective date of Winter's termination of registration from a FINRA regulated broker-dealer.

Winter has no disciplinary history.

OVERVIEW

Between November 2, 2009 and February 23, 2010 (the "Relevant Period"), Winter had two customers pre-sign a total of three documents that were incomplete or undated. At a later date, Winter filled in the information on the three documents, and submitted the completed documents to the Firm to process transactions.

Additionally, during the Relevant Period, Winter retained in his files 22 other pre-signed documents for eight customers that were either incomplete or undated. These documents were never submitted to the Firm.

FACTS AND VIOLATIVE CONDUCT

On November 2, 2009, Winter had his customer GT sign and date at least eight Specialty Fund Forms and Multiple Fund Disclosure Forms, each of which was incomplete and undated. Winter then filled in the missing information and the date on one of the pre-signed forms to complete five authorized transactions on G.T.'s behalf, and submitted the completed document to the Firm. Winter retained the remaining seven signed incomplete documents in his file.

On an unidentified date, Winter had his customer KL sign an undated, blank Bond Mutual Fund Disclosure Form and a C Share Client Acknowledgement Form. On February 22, 2010, Winter filled in the date and the remaining missing information on these two forms, and submitted the documents to the Firm to process a transaction.

During the Relevant Period, Winter additionally retained 22 documents from eight other clients in his files that were either signed without a date or were signed with account information still blank. These documents were never submitted to the Firm but were located in Respondent's files on February 24, 2010.

During the Relevant Period, the Firm prohibited its representatives from obtaining pre-signed documents or retaining pre-signed documents in their files.

By virtue of the foregoing, Winter violated FINRA Rule 2010 in that he failed to adhere to high standards of commercial honor and just and equitable principles of trade.

B. Respondent also consents to the imposition of the following sanctions:

1. A suspension from association with any FINRA member in all capacities for a period of 30 days;
2. A fine in the amount of \$5,000.

Respondent understands that if he is barred or suspended from associating with any FINRA member, he becomes subject to a statutory disqualification as that term is

defined in Article III, Section 4 of FINRA's By-Laws, incorporating Section 3(a)(39) of the Securities Exchange Act of 1934. Accordingly, he may not be associated with any FINRA member in any capacity, including clerical or ministerial functions, during the period of the bar or suspension (see FINRA Rules 8310 and 8311).

The fine shall be due and payable either immediately upon reassociation with a member firm following the 30 day 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.

Respondent specifically and voluntarily waives any right to claim that he is unable to pay, now or at any time hereafter, the monetary sanction imposed in this matter.

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

II.

WAIVER OF PROCEDURAL RIGHTS

Respondent specifically and voluntarily waives the following rights granted under FINRA's Code of Procedure:

- A. To have a Complaint issued specifying the allegations against him;
- B. To be notified of the Complaint and have the opportunity to answer the allegations in writing;
- C. To defend against the allegations in a disciplinary hearing before a hearing panel, to have a written record of the hearing made and to have a written decision issued; and
- D. To appeal any such decision to the National Adjudicatory Council ("NAC") and then to the U.S. Securities and Exchange Commission and a U.S. Court of Appeals.

Further, Respondent specifically and voluntarily waives any right to claim bias or prejudgment of the General Counsel, the NAC, or any member of the NAC, in connection with such person's or body's participation in discussions regarding the terms and conditions of this AWC, or other consideration of this AWC, including acceptance or rejection of this AWC.

Respondent further specifically and voluntarily waives any right to claim that a person violated the ex parte prohibitions of FINRA Rule 9143 or the separation of functions prohibitions of FINRA Rule 9144, in connection with such person's or body's participation in discussions.

regarding the terms and conditions of this AWC, or other consideration of this AWC, including its acceptance or rejection.

III.

OTHER MATTERS

Respondent understands that:

- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs ("ODA"), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against him; and
- C. If accepted:
 - 1. this AWC will become part of Respondent's permanent disciplinary record and may be considered in any future actions brought by FINRA or any other regulator against him;
 - 2. this AWC will be made available through FINRA's public disclosure program in response to public inquiries about Respondent's disciplinary record;
 - 3. FINRA may make a public announcement concerning this agreement and the subject matter thereof in accordance with FINRA Rule 8313; and
 - 4. Respondent may not take any action or make or permit to be made any public statement, including in regulatory filings or otherwise, denying, directly or indirectly, any finding in this AWC or create the impression that the AWC is without factual basis. Respondent may not take any position in any proceeding brought by or on behalf of FINRA, or to which FINRA is a party, that is inconsistent with any part of this AWC. Nothing in this provision affects Respondent's right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party.
- D. Respondent may attach a Corrective Action Statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. Respondent understands that he may not deny the charges or make any statement

that is inconsistent with the AWC in this Statement. This Statement does not constitute factual or legal findings by FINRA, nor does it reflect the views of FINRA or its staff.

Respondent certifies that he has read and understands all of the provisions of this AWC and has been given a full opportunity to ask questions about it; that he has agreed to its provisions voluntarily; and that no offer, threat, inducement, or promise of any kind, other than the terms set forth herein and the prospect of avoiding the issuance of a Complaint, has been made to induce him to submit it.

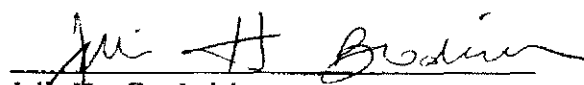
2/9/12
Date: February 9, 2012


John Frederick Winter, Respondent

Accepted by FINRA:

2/14/12
Date: February 14, 2012

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


Julie Han Broderick
Director
FINRA Department of Enforcement
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