

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 2011028223401**

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

RE: Adamson Wayne Wright, Respondent
Registered Representative
CRD No. 2650328

Pursuant to FINRA Rule 9216 of FINRA's Code of Procedure, I submit 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 me alleging violations based on the same factual findings described herein.

I.

ACCEPTANCE AND CONSENT

- A. I hereby accept and consent, 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 Adamson Wayne Wright entered the securities industry in 1995 as a General Securities Representative with a FINRA member firm. Between 1995 and January 2010, Wright was registered with two different member firms. In January 2010, Wright became registered with Ameriprise Financial Services, Inc. ("Ameriprise"). Wright was terminated from Ameriprise in June 2011. In July 2011, Wright became registered with another member firm, where he is currently registered.

RELEVANT DISCIPLINARY HISTORY

Wright has no relevant disciplinary history.

OVERVIEW

From approximately May 2010 through February 2011, Wright marked order tickets for 249 transactions in three customers' accounts as "unsolicited" when, in

fact, Wright had solicited the transactions. By mismarking order tickets, and thereby causing the books and records of his employing member firm to be inaccurate, Wright violated NASD Rule 3110 and FINRA Rule 2010.¹

FACTS AND VIOLATIVE CONDUCT

NASD Rule 3110 requires each FINRA member to “make and preserve books, accounts, records, memoranda, and correspondence in conformity with all applicable laws, rules, regulations and statements of policy promulgated thereunder . . . and as prescribed by SEC Rule 17a-3.” Section 17(a) of the Securities Exchange Act of 1934 and Rule 17a-3 thereunder require firms to make and keep books and records including, among other things, a “memorandum of each brokerage order.”

From approximately May 2010 through February 2011, Wright marked a total of 249 order tickets in three customers’ accounts as “unsolicited” when, in fact, Wright had solicited each order by bringing the relevant security or transaction to the attention of the customer. The mismarked order tickets involved option trades, including uncovered option trades. Wright mismarked the order tickets to circumvent Ameriprise’s policies and procedures, which prohibited the Firm’s registered representatives from soliciting uncovered option trades. By mismarking order tickets, Wright caused Ameriprise’s books and records to be inaccurate. As a result, Wright violated NASD Rule 3110 and FINRA Rule 2010.

OTHER FACTORS

B. I also consent to the imposition of the following sanctions:

- a suspension from associating with any FINRA member in any capacity for a period of 60 days; and
- a fine in the amount of \$5,000.

I agree to pay the monetary sanction upon notice that this AWC has been accepted and that such payment is due and payable. I have submitted an Election of Payment form showing the method by which I propose to pay the fine imposed.

I specifically and voluntarily waive any right to claim that I am unable to pay, now or at any time hereafter, the monetary sanction imposed in this matter.

I understand that if I am barred or suspended from associating with any FINRA member, I become 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, I may not be associated with any

¹ NASD Rule 3110 applies because the conduct occurred prior to December 5, 2011, the date NASD Rule 3110 was superseded by FINRA Rule 4511.

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

II.

WAIVER OF PROCEDURAL RIGHTS

I specifically and voluntarily waive the following rights granted under FINRA's Code of Procedure:

- A. To have a Complaint issued specifying the allegations against me;
- 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, I specifically and voluntarily waive any right to claim bias or prejudgment of the Chief Legal Officer, 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.

I further specifically and voluntarily waive 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

I understand 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 me; and

C. If accepted:

1. this AWC will become part of my permanent disciplinary record and may be considered in any future actions brought by FINRA or any other regulator against me;
2. this AWC will be made available through FINRA's public disclosure program in accordance with FINRA Rule 8313;
3. FINRA may make a public announcement concerning this agreement and the subject matter thereof in accordance with FINRA Rule 8313; and
4. I 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. I 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 my: (i) testimonial obligations; or (ii) right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party.

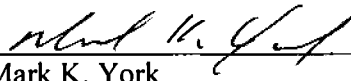
D. I may attach a Corrective Action Statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. I understand that I may not deny the charges or make any statement that is inconsistent with the AWC in this Statement. This Statement does not constitute factual or legal findings by FINRA, nor does it reflect the views of FINRA or its staff.

I certify that I have read and understand all of the provisions of this AWC and have been given a full opportunity to ask questions about it; that I have 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 me to submit it.

02/13/2015
Date (mm/dd/yyyy)

Adamson Wayne Wright
Adamson Wayne Wright

Reviewed by:



Mark K. York
Counsel for Respondent
Carruthers & Roth, P.A.
235 N. Edgeworth St.
Greensboro, NC 27401
(336) 478-1152

Accepted by FINRA:

3/23/08

Date

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



James E. Day
Vice President and Chief Counsel
FINRA Department of Enforcement
15200 Omega Drive, 3rd Floor
Rockville, MD 20850
(301) 258-8520