

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 2011029152101**

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

RE: Jeffrey Brian Mackevich
CRD No. 733861

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

Mackevich has been in the industry since 1981 and has been a general securities representative since that time registered with various FINRA member firms. Starting in August 1997, Mackevich was employed by and registered with Mesirow Financial, Inc. ("Mesirow"), until his termination in August 2011. Since September 2011 to the present, he has been employed by and registered with another FINRA-registered firm.

RELEVANT DISCIPLINARY HISTORY

Mackevich has no relevant disciplinary history.

OVERVIEW

Mackevich affixed a customer signature to a change of address form, and initially lied to his firm and to FINRA, claiming that he did not sign the customer's signature. Subsequently, Mackevich admitted that he signed the customer's signature and that he lied to his firm and to FINRA.

FACTS AND VIOLATIVE CONDUCT

Mackevich's customer had duplicate account statements sent to her sister's address, who was assisting the customer in her financial affairs. After the customer's sister moved to another location, the customer and her sister desired to have the duplicate statements cease being sent to the old address, where an unrelated person not authorized to receive such statements now resided. On more than one occasion during the year after her move, the customer's sister requested the duplicate statements cease being sent to her old address. On August 24, 2011, after another request from the sister was made to remove the sister's old address as an address associated with the customer's account, Mackevich signed his customer's signature to a Letter of Authority (LOA) to effectuate that request.

Upon being questioned by his firm regarding the non-authentic customer signature, Mackevich denied that he signed the customer's signature on the LOA. Mackevich was subsequently terminated by his firm. As a part of FINRA's investigation, in response to two Rule 8210 requests for information by FINRA, Mackevich represented that he did not sign the customer's signature on the LOA. However, Mackevich subsequently provided FINRA with an amended Rule 8210 response admitting that he signed the customer's signature to the LOA, and that he lied to his firm and to FINRA in response to the previous 8210 requests. This conduct is in violation of FINRA Rules 8210 and 2010.

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

A suspension of 7 months from association with any FINRA-registered firm in any capacity, and a fine of \$25,000.

I agree to pay the monetary sanction(s) upon notice that this AWC has been accepted and that such payment(s) are 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(s) 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 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 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.

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:

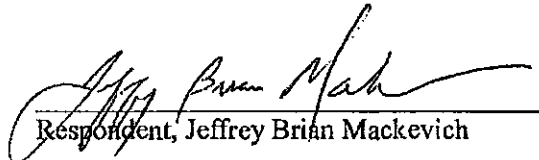
- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of

the NAC, or the Office of Disciplinary Affairs ("ODA"), pursuant to FINRA Rule 9216;

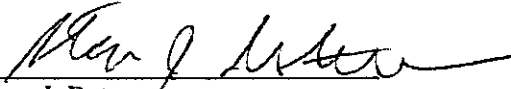
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against me; and
- C. If accepted:
1. this AWC will become part of my permanent disciplinary record and may be considered in any future actions brought by FINRA or any other regulator against me;
 2. this AWC will be made available through FINRA's public disclosure program in response to public inquiries about my 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. 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.

9/16/2013
Date (mm/dd/yyyy)

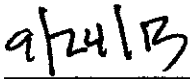

Respondent, Jeffrey Brian Mackevich

Reviewed by:



Steven J. Rotunno
Kubasiak, Fylstra, Thorpe & Rotunno, P.C
20 S. Clark Street, 29th Floor
Chicago, IL 60603
312.630.9600

Accepted by FINRA:



Date

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



Miki Vucic Tesija
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