

**FINANCIAL INDUSTRY REGULATORY AUTHORITY (FINRA)
OFFICE OF HEARING OFFICERS**

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

AMANDA ROSE KING,
(CRD No. 6123711)

Respondent.

Disciplinary Proceeding
No. 20130358986

COMPLAINT

The Department of Enforcement alleges:

SUMMARY

1. On or about November 23, 2012, while associated with JPMorgan Securities LLC (the "Firm") as a non-registered sales assistant and simultaneously employed as a personal banker with the Firm's affiliated bank (the "Bank"), Respondent converted \$2,200 from a Bank customer's account in violation of FINRA Rule 2010.
2. Additionally, on May 23, 2013 and June 4, 2013, Respondent failed to comply with requests to appear and provide testimony pursuant to FINRA Rule 8210, in violation of FINRA Rules 8210 and 2010.

RESPONDENT AND JURISDICTION

3. Respondent entered the securities industry in May 2012, when she became associated with the Firm, a FINRA member, as a non-registered sales assistant. While associated with the Firm, Respondent was also employed as a personal banker at the Bank's West Monroe, Louisiana branch office. Respondent remained associated with the Firm and the Bank until

her termination from both on January 11, 2013. Respondent is not currently associated with a FINRA member firm.

4. Although Respondent is not currently registered or associated with a FINRA member, she remains subject to FINRA's jurisdiction for purposes of this proceeding, pursuant to Article V, Section 4 of FINRA's By-Laws, because: (1) the Complaint was filed within two years after the effective date of termination of Respondent's registration with the Firm, namely, February 9, 2013, and (2) the Complaint charges her with misconduct committed while she was registered or associated with a FINRA member, and with failing to respond to FINRA requests for information during the two-year period after the date upon which she ceased to be registered or associated with a FINRA member.

**FIRST CAUSE OF ACTION
FINRA RULE 2010
(FORGERY AND MISAPPROPRIATION OF FUNDS)**

5. The Department realleges and incorporates by reference paragraphs 1 through 4 above.
6. FINRA Rule 2010 states that a member or associated person "in the conduct of its business, shall observe high standards of commercial honor and just and equitable principles of trade."
7. Customer LC was a Bank customer while Respondent was associated with the Firm and the Bank.
8. On or about November 23, 2012, Respondent signed Customer LC's name on a Bank withdrawal slip without LC's knowledge or consent
9. Respondent presented the withdrawal slip to a Bank teller, and withdrew \$2,200 from LC's Bank account without permission or authority from LC or the Bank.
10. By virtue of the foregoing, Respondent converted funds from LC's Bank account in violation of FINRA Rule 2010.

SECOND CAUSE OF ACTION
FINRA RULES 8210 AND 2010
(FAILURE TO APPEAR AND PROVIDE TESTIMONY)

11. The Department realleges and incorporates by reference paragraphs 1 through 10 above.
12. FINRA Rule 8210(a) requires that persons associated with a member firm, or persons subject to FINRA's jurisdiction to provide information orally, in writing, or electronically and testify at a location specified by FINRA.
13. On May 23, 2013, FINRA staff sent a letter to Respondent (the "May 23 Letter") requesting, pursuant to FINRA Rule 8210, that she appear and testify on June 3, 2013 at FINRA's office in New York City. The May 23 Letter was sent via certified mail and return receipt requested to Respondent's address listed on the Central Registration Depository ("CRD Address"). The letter was also sent to the CRD Address by first class mail. A copy of the letter was also emailed to Respondent's email address.
14. The May 23 Letter stated that a failure to appear as requested could expose Respondent to sanctions, including a bar from the securities industry. FINRA received the return receipt for the May 23 Letter on May 31, 2013, signed with a name other than Respondent's name. The copy of the May 23 Letter sent by first class mail was not returned.
15. Respondent failed to appear and provide testimony to FINRA on June 3, 2013.
16. On June 4, 2013, FINRA staff sent a letter to Respondent (the "June 4 Letter") requesting, pursuant to FINRA Rule 8210, that Respondent appear and testify on June 17, 2013 at FINRA's office in New York City. The June 4 Letter was sent via certified mail return receipt requested to the CRD Address. The letter was also sent to the CRD Address by first class mail. A copy of the letter was also emailed to Respondent's email address.
17. The June 4 Letter stated that a failure to appear as requested could expose Respondent to sanctions, including a bar from the securities industry. FINRA received the return receipt for

the June 4 Letter on May 31, 2013, signed with a name other than Respondent's name. The copy of the June 4 Letter sent by first class mail was not returned.

18. Respondent failed to appear and provide testimony to FINRA on June 17, 2013.

19. As of the date of this Complaint, Respondent has not appeared and provided testimony to FINRA staff in response to the requests for testimony described above.

20. By virtue of the foregoing, Respondent violated FINRA Rules 8210 and 2010.

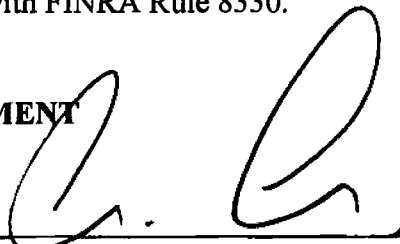
RELIEF REQUESTED

WHEREFORE, the Department respectfully requests that the Panel:

- A. Make findings of fact and conclusions of law that Respondent committed the violations charged and alleged herein;
- B. Order that one or more of the sanctions provided under FINRA Rule 8310(a) be imposed, including that the Respondent be required to disgorge fully any and all ill-gotten gains and/or make full and complete restitution, together with interest; and
- C. Order that Respondent bear such costs of proceeding as are deemed fair and appropriate under the circumstances in accordance with FINRA Rule 8330.

FINRA DEPARTMENT OF ENFORCEMENT

Date: 7/29/13



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