

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 2013037424801**

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

RE: Donatas Vildzius, Respondent
Registered Representative
CRD No. 2202883

Pursuant to FINRA Rule 9216 of FINRA's Code of Procedure, I Donatas Vildzius ("Vildzius" or "Respondent") 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

Vildzius first became registered with FINRA as a General Securities Representative ("GSR") on or about November 18, 1991 through a former FINRA member firm. Between November 18, 1991 and July 31, 2009, Vildzius was registered with FINRA as a GSR through various FINRA member firms. On October 29, 2009, Vildzius became registered with FINRA as a GSR through Rockwell Global Capital, LLC ("Rockwell") (BD No. 142485), where he is currently employed.

RELEVANT DISCIPLINARY HISTORY

Vildzius has no relevant disciplinary history with the Securities and Exchange Commission, any state securities agency, FINRA or any other self-regulatory organization.

OVERVIEW

While registered with FINRA through association with Rockwell, Vildzius failed to timely disclose on his Uniform Application for Securities Industry Registration or Transfer ("Form U4") the material fact that he had two outstanding judgments. Accordingly, Vildzius violated Article V, Section 2(c) of the FINRA By-Laws and FINRA Rules 1122 and 2010.

FACTS AND VIOLATIVE CONDUCT

Article V, Section 2(c) of the FINRA By-Laws requires a person applying for registration with FINRA to disclose certain material information, including whether the individual has outstanding judgments. At all times, the applicant is required to keep their Form U4 current by filing amendments within 30 days of learning of material facts that are required to be disclosed. FINRA Rule 1122 forbids individuals from filing incomplete or inaccurate registration information. FINRA Rule 2010 provides that "[a] member, in the conduct of his business, shall observe high standards of commercial honor and just and equitable principles of trade." Failure to disclose all information required by the Form U4, including whether the individual has outstanding judgments, constitutes a violation of Article V, Section 2(c) of the FINRA By-Laws, as well as FINRA Rules 1122 and 2010.

Vildzius had two outstanding judgments filed against him in a Connecticut small claims court on June 13, 2012: one judgment in the amount of approximately \$4,809 and one in the amount of approximately \$4,253. At the time the June 2012 judgments were filed, Vildzius was employed with Rockwell. Question 14M of the Form U4 asks the following question:

"Do you have any unsatisfied judgments or liens against you?"

Vildzius should have updated his Form U4 with Rockwell within 30 days of receiving notice that the judgments had been filed against him to reflect a "Yes" response to Question 14M. However, Vildzius did not update his Form U4 at Rockwell to disclose the judgments until November 27, 2012.

By failing to timely disclose the two outstanding judgments, Vildzius violated Article V, Section 2(c) of the FINRA By-Laws and FINRA Rules 1122 and 2010.

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

- A one-month suspension in all capacities from association with any FINRA member firm; and
- A \$2,500 fine.

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

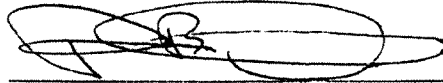
I understand that:

- 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.

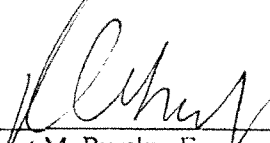
1/22/14

Date (mm/dd/yyyy)



Donatas Vildzius, Respondent

Reviewed by:

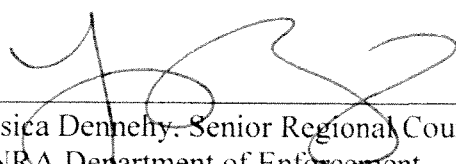


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Accepted by FINRA:

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

1/31/2014
Date



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