

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS**

Department of Enforcement,

Complainant,

v.

Bryan Patrick Stevenson,
CRD No. 6028574,

Respondent.

Disciplinary Proceeding
No. 2013038822001

Hearing Officer: Andrew H. Perkins

**ORDER ACCEPTING OFFER OF
SETTLEMENT**

Date: 9/3/2015

INTRODUCTION

Disciplinary Proceeding No. 2013038822001 was filed on January 9, 2015, by the Department of Enforcement of the Financial Industry Regulatory Authority (FINRA) (Complainant). Respondent Bryan Stevenson submitted an Offer of Settlement (Offer) to Complainant dated August 14, 2015. Pursuant to FINRA Rule 9270(e), the Complainant and the National Adjudicatory Council (NAC), a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs (ODA) have accepted the uncontested Offer. Accordingly, this Order now is issued pursuant to FINRA Rule 9270(e)(3). The findings, conclusions and sanctions set forth in this Order are those stated in the Offer as accepted by the Complainant and approved by the NAC.

Under the terms of the Offer, Respondent has consented, without admitting or denying the allegations of the Complaint, as amended by the Offer of Settlement, 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, to the entry of findings and violations consistent with the allegations of the Complaint, as amended by the Offer of Settlement, and to the imposition of the sanctions set forth below, and fully understands that this Order will become part of Respondent's permanent disciplinary record and may be considered in any future actions brought by FINRA.

BACKGROUND

Bryan Stevenson entered the securities industry in February 2013 as an Investment Company and Variable Products Representative with a FINRA-registered firm. In June 2014, Stevenson became registered in the same capacity with Farmers Financial Solutions, LLC. He remains registered with Farmers Financial Solutions, LLC. Since Stevenson is presently registered with another FINRA firm, FINRA has jurisdiction over him for purposes of this proceeding.

FINDINGS AND CONCLUSIONS

It has been determined that the Offer be accepted and that findings be made as follows:

- On the morning of August 27, 2013, Bryan Stevenson, while associated with a FINRA-registered firm, arrived at the Prometric Testing Center in Joliet, Illinois, to take the Series 7 - General Securities Representative examination.
- Before beginning the examination, Stevenson was presented with the FINRA Test Center Rules of Conduct, which appeared on the computer screen in front of him, and which provided, in part, the following statement: "I must not take or attempt to take any personal items including but not limited to, notes, formulas, study materials, or electronic devices into the testing room. I will place all personal belongings in the locker provided by the testing vendor prior to entering the

testing room.” Stevenson electronically agreed to abide by all FINRA Test Center Rules of Conduct.

- At approximately 11:36 a.m., during a test center required break at the halfway point of the examination, Stevenson exited the testing room and signed out at the Test Center Administrator (“TCA”) station.
- Shortly after Stevenson walked away from the station, a TCA found a folded piece of paper on the floor in front of the station and picked it up. The paper was a white single sheet, sized 5.25” x 8.25”, and had notes and formulas written on both sides of the paper. Crease lines on the paper indicated it had been folded into a small size.
- Subsequently, TCAs reviewed video footage of the FINRA Test Center and determined that the white paper found by the TCA belonged to Stevenson.
- In a letter to FINRA, dated November 27, 2013, Stevenson admitted that the piece of paper containing the notes was his.
- The paper that Stevenson admitted was his contained study materials that would have been useful for the examination, albeit there is no evidence that he intended to use the material during the examination.
- As a result of the above, Stevenson brought study materials onto the testing premises for a Series 7 examination, in violation of FINRA Test Center Rules of Conduct, a violation of FINRA Rule 2010.

Based on the foregoing, Respondent violated FINRA Rule 2010.

Based on these considerations, the sanctions hereby imposed by the acceptance of the Offer are in the public interest, are sufficiently remedial to deter Respondent from any future misconduct, and represent a proper discharge by FINRA, of its regulatory responsibility under the Securities Exchange Act of 1934.

SANCTIONS

It is ordered that Respondent be suspended for six months from association with any FINRA member and fined \$5,000.

Respondent agrees to pay the monetary sanction upon notice that this Offer has been accepted and that such payments are due and payable. Respondent has submitted an Election of Payment form showing the method by which he proposes to pay the fine imposed.

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

SO ORDERED.

Accepted by FINRA:

September 3, 2015
Date

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


Richard A. March
Senior Regional Counsel
FINRA Department of Enforcement
55 West Monroe Street, Suite 2700
Chicago, Illinois 60603-5052
(312) 899-4351