

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 2015045448902**

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

RE: Jetmir Ahmeti, Respondent
General Securities Representative
CRD No. 5568499

Pursuant to FINRA Rule 9216 of FINRA's Code of Procedure, Respondent Jetmir Ahmeti ("Ahmeti") submits 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 Ahmeti 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

Ahmeti first became associated with a FINRA member firm in 2008. Ahmeti obtained the Series 7 (General Securities Representative) FINRA license in September 2008. From September 2009 through May 2015, Ahmeti was registered with FINRA through his association with Edward D. Jones & Co., L.P. (Edward Jones). Edward Jones filed a Uniform Termination Notice for Securities Industry Registration (Form U5) on behalf of Ahmeti on May 11, 2015, disclosing that it had terminated Ahmeti's employment as of May 1, 2015. Ahmeti is not currently associated with a FINRA member firm. Ahmeti remains subject to FINRA's jurisdiction pursuant to Article V, Section 4 of FINRA's By-Laws until May 10, 2017.

OVERVIEW

Between March 16, 2015 and April 8, 2015, Ahmeti opened 14 new accounts without the knowledge and authorization of the purported account owners. By opening new accounts without the owners' knowledge or authorization, Ahmeti violated FINRA Rule 2010. Because the information Ahmeti submitted to his FINRA member firm to open the accounts was neither obtained from nor confirmed by the account owners, Ahmeti caused his firm to maintain inaccurate books and records, in violation of FINRA Rules 4511 and 2010. Additionally, Ahmeti willfully failed to timely amend his Uniform Application for Securities Industry Registration or Transfer (Form U4) to disclose a felony charge, in violation of Article V, Section 2(c) of the FINRA By-Laws and FINRA Rules 1122 and 2010.

FACTS AND VIOLATIVE CONDUCT

Opening Accounts Without the Account Owners' Knowledge and Authorization

FINRA Rule 2010 requires a registered person to observe high standards of commercial honor and just and equitable principles of trade in the conduct of his business. Between March 16, 2015 and April 8, 2015, Ahmeti submitted information to open new accounts at Edward Jones for 14 individuals without first contacting the individuals and obtaining their consent. The individuals were Transfer on Death beneficiaries of existing clients of Ahmeti. Ahmeti gathered basic information on the 14 individuals from his existing clients, while making guesses regarding items such as the individuals' investment objectives, income, and risk profile.

Submitting information to open a new account for an individual without the knowledge or permission of the individual violated Edward Jones' policies and procedures, which stated that "Financial advisors must complete all required fields on the new account form. Information should be obtained directly from the client or their properly authorized representative." Nonetheless, Ahmeti completed new account opening documents for the 14 individuals on Edward Jones' electronic system without contacting the individuals to obtain their authorization or to verify the information.

Based on the information Ahmeti submitted, Edward Jones opened new accounts for each of the 14 individuals. After the accounts were opened, Ahmeti mailed copies of the account opening documents to the 14 individuals to sign and return. For six of the 14 accounts, the account owner signed and returned the account opening documentation. One of the individuals was deceased. For the remaining seven accounts, the account owners did not sign and return the account opening documents. There was no trading activity in the accounts.

In view of the foregoing conduct, Ahmeti violated FINRA Rule 2010.

Inaccurate Books and Records

FINRA Rule 4511(a) requires each member to "make and preserve books and records as required under the FINRA rules, the Exchange Act and the applicable Exchange Act rules." Exchange Act Rule 17a-3 requires FINRA member firms to maintain customer new account forms and securities transaction-related paperwork. By submitting new account opening documentation to his FINRA member firm that contained information that was not obtained from or verified by the account owners, Ahmeti caused Edward Jones to maintain inaccurate books and records.

In view of the foregoing conduct, Ahmeti violated FINRA Rules 4511 and 2010.

Willful Failure to Timely Disclose a Criminal Charge on Form U-4

Article V, Section 2(c) of FINRA's By-Laws requires that registration of associated persons with FINRA "shall be kept current at all times by supplementary amendments" and that amendments to the Form U4 be filed "not later than 30 days after learning of the facts or circumstances giving rise to the amendment." FINRA Rule 1122 requires registered representative filings to be complete and accurate.

A representative has an affirmative obligation to fully disclose all material facts in response to the questions on the Form U4, and a false response on a Form U4 or failing to amend a Form U4 is a violation of FINRA Rules 1122 and 2010 and Article V, Section 2(c) of FINRA's By-Laws.

Question 14A(1)(b) of the Form U4 asks: "Have you ever been *charged* with any felony?"

Ahmeti was indicted on March 27, 2015 for felony assault. He did not amend his Form U4 to reflect the felony charge until August 21, 2015. Subsequently, on December 9, 2015, the charge was dismissed.

In view of the foregoing conduct, Ahmeti willfully violated FINRA's By-Laws, Article V, Section 2 and FINRA Rules 1122 and 2010.

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

A nine month suspension from association with any FINRA member in any capacity.

Respondent has submitted a sworn financial statement and demonstrated an inability to pay. In light of the financial status of Respondent, no monetary sanctions have been imposed.

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).

I understand that this settlement includes a finding that I willfully omitted to state a material fact on a Form U4, and that under Section 3(a)(39)(F) of the Securities Exchange Act of 1934 and Article III, Section 4 of FINRA's By-Laws, this omission makes me subject to a statutory disqualification with respect to association with a member.

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.

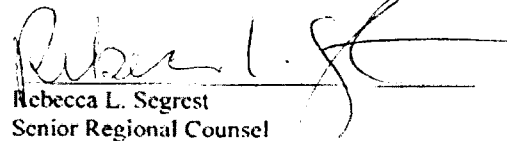
4.26.17
Date (mm/dd/yyyy)


Jetmir Ahmeti, Respondent

Accepted by FINRA:

April 26, 2017
Date

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


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