

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER AND CONSENT
NO. 2015047119001**

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

RE: Nita Charlton-Gomes, Respondent
CRD No. 2886297

Pursuant to FINRA Rule 9216 of FINRA's Code of Procedure, Nita Charlton-Gomes (the "Respondent") 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 Respondent alleging violations based on the same factual findings described herein.

I.

ACCEPTANCE AND CONSENT

- A. Respondent hereby accepts and consents, 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

Respondent first entered the securities industry in 1999, when she associated with Hollencrest Capital Management (the "Firm"). On or about November 18, 1999, the Firm filed a Form U4 on Respondent's behalf, which Respondent also executed. In January 2015, Respondent passed the Series 99 – Operations Professional ("OS") examination. In August 2015, Respondent registered as an OS through the Firm. Respondent's conduct, detailed below, occurred while she was an "associated person of a member" as defined by FINRA By-Laws, Article I, Section (rr). On or about January 7, 2016, the Firm filed a Form U5 on Respondent's behalf, indicating that she had been discharged for the conduct below. Respondent is currently not associated or registered with a FINRA member firm. Respondent does not have any disciplinary history.

OVERVIEW

In connection with the registration of one of the Firm's employees with the National Futures Association ("NFA"), Respondent fabricated an email ostensibly stating that the NFA had received the employee's examination information and confirming the employee's registration with the NFA.

FACTS AND VIOLATIVE CONDUCT

In March 2015, the Firm discovered that one of its employees, AH, was not registered with the NFA. At that time, Respondent's responsibilities included submitting registration-related documents on behalf of the Firm.

During this time, Respondent maintained that she had submitted the requisite information to the NFA concerning AH's registration. In support, Respondent fabricated an email that she purportedly received from an NFA employee, which confirmed that the NFA had received AH's examination results and AH's registration had been approved. Respondent then provided this fabricated email to both the Firm and the NFA as evidence that AH should have been properly registered. Not only did the email prove to be falsified, but the purported sender of the email had never been employed by NFA.

As a result of the foregoing conduct, Respondent violated FINRA Rule 2010.

OTHER FACTORS

B. Respondent also consents to the imposition of the following sanction:

A bar from association with any FINRA member broker-dealer in all capacities.

Respondent understands that if she is barred or suspended from associating with any FINRA member, she becomes 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, Respondent 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. A bar or expulsion shall become effective upon approval or acceptance of this AWC.

II.

WAIVER OF PROCEDURAL RIGHTS

Respondent specifically and voluntarily waives the following rights granted under FINRA's Code of Procedure:

- A. To have a Complaint issued specifying the allegations against Respondent;
- 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, Respondent specifically and voluntarily waives 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.

Respondent further specifically and voluntarily waives 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

Respondent understands that:

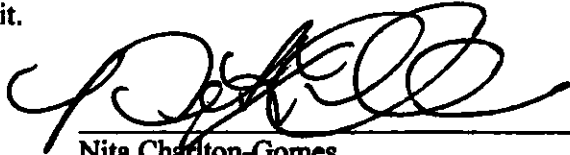
- A. Submission of this AWC is voluntary and will not resolve this matter unless and until it has been reviewed and accepted by the NAC, a Review Subcommittee of the NAC, or the Office of Disciplinary Affairs ("ODA"), pursuant to FINRA Rule 9216;
- B. If this AWC is not accepted, its submission will not be used as evidence to prove any of the allegations against Respondent; and

C. If accepted:

1. this AWC will become part of Respondent's permanent disciplinary record and may be considered in any future actions brought by FINRA or any other regulator against Respondent;
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. Respondent 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. Respondent 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 Respondent's: (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.

Respondent certifies that she has read and understands all of the provisions of this AWC and have been given a full opportunity to ask questions about it; that Respondent has 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 Respondent to submit it.

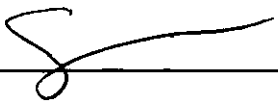
01-26-2016
Date (mm/dd/yyyy)


Nita Charlton-Gomes

Accepted by FINRA:

3/28/16
Date

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



Soo H. Im
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