FINANCIAL INDUSTRY REGULATORY AUTHORITY
LETTER OF ACCEPTANCE, WAIVER, AND CONSENT
NO. 2021070740101

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

RE: Daria Lynn Radonski (Respondent)
Former General Securities Representative (GSR)
CRD No. 2349272

Pursuant to FINRA Rule 9216, Respondent Daria Lynn Radonski 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 in this AWC.

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

In December 1999, Respondent became registered as a GSR through an association with RBC Capital Markets, LLC (CRD No. 31194), a FINRA-member firm. On March 16, 2021, the firm filed a Uniform Termination Notice for Securities Industry Registration (Form U5) stating that it had discharged Respondent, effective February 25, 2021, because she "violated the Firm's Employee Alteration and Execution of Client Documents policy by admitting to signing …[a] financial advisor's name without approval." Respondent is not currently associated with a FINRA member, but remains subject to FINRA's jurisdiction pursuant to Article V, Section 4 of FINRA's By-Laws.[1]

OVERVIEW

Respondent refused to provide documents and information requested pursuant to FINRA Rule 8210. By virtue of this misconduct, Respondent has violated FINRA Rules 8210 and 2010.

[1] For more information about the respondent, visit BrokerCheck® at www.finra.org/brokercheck.

FACTS AND VIOLATIVE CONDUCT

FINRA Rule 8210 states, in relevant part, that FINRA has the right to require a "person subject to FINRA's jurisdiction to provide information orally, in writing, or electronically . . . with respect to any matter involved in the investigation, complaint, examination or proceeding." FINRA Rule 8210 also specifies that "[n]o . . . person shall fail to provide information or testimony . . . pursuant to this Rule."

A failure to provide information requested by FINRA pursuant to Rule 8210 violates Rule 8210. Conduct that violates FINRA Rule 8210 also violates FINRA Rule 2010, which requires associated persons to "observe high standards of commercial honor and just and equitable principals of trade."

This matter originated from the firm's Form U5 filing disclosing that it had discharged Respondent.

On June 28, 2021, FINRA sent a letter to Respondent, seeking the production of information and documents on or before July 13, 2021, pursuant to FINRA Rule 8210. Respondent failed to respond to the request. On July 19, 2021, FINRA sent a second request letter to Respondent, seeking the production of information and documents pursuant to FINRA Rule 8210. As stated during her phone calls with FINRA on July 23, 2021 and September 8, 2021, and in her email dated July 26, 2021, and by this agreement, Respondent acknowledges that she received FINRA's requests and will not produce the information or documents requested.

Therefore, Respondent violated FINRA Rules 8210 and 2010.

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

- A bar from associating with any FINRA member 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, she 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 in this AWC shall be effective on a date set by FINRA. 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 her;

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 its acceptance or rejection.

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 action 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 its subject matter 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 right to take legal or factual positions in litigation or other legal proceedings in which FINRA is not a party. Nothing in this provision affects Respondent's testimonial obligations in any litigation or other legal proceedings.

Respondent certifies that she has read and understands all of the provisions of this AWC and has been given a full opportunity to ask questions about it; Respondent understands and acknowledges that FINRA does not represent or advise her and Respondent cannot rely on FINRA for legal advice. Respondent has agreed to the AWC's provisions voluntarily; and no offer, threat, inducement, or promise of any kind, other than the terms set forth in this AWC and the prospect of avoiding the issuance of a complaint, has been made to induce her to submit this AWC.

9-14-2021
Date

Daria Lynn Radonski
Daria Lynn Radonski
Respondent

Accepted by FINRA:

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

September 22, 2021

Date

Carolyn O'Leary
Senior Counsel
FINRA
Department of Enforcement
Brookfield Place
200 Liberty Street
New York, NY 10281