

**FINANCIAL INDUSTRY REGULATORY AUTHORITY  
LETTER OF ACCEPTANCE, WAIVER, AND CONSENT  
NO. 2020065620601**

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

RE: Maria Acevez Perez (Respondent)  
General Securities Representative  
CRD No. 2981386

Pursuant to FINRA Rule 9216, Respondent Maria Acevez Perez 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 accepts and consents to the following findings by FINRA without admitting or denying them:

**BACKGROUND**

Acevez Perez first became registered with FINRA in May 2016 when she registered as a General Securities Representative through an association with VectorGlobal WMG. She remains registered with FINRA through her association with VectorGlobal.<sup>1</sup>

**OVERVIEW**

In 2021 and 2022, Respondent failed to timely respond to separate FINRA requests for information and documents pursuant to FINRA Rule 8210, in violation of FINRA Rules 8210 and 2010.

**FACTS AND VIOLATIVE CONDUCT**

FINRA Rule 8210(a)(1) requires any “person subject to FINRA’s jurisdiction to provide information orally, in writing, or electronically . . . with respect to any matter involved in [an] investigation[.]” FINRA Rule 8210(a)(2) authorizes FINRA to “inspect and copy the books, records, and accounts of such . . . person with respect to any matter involved in the investigation[.]” FINRA Rule 8210(c) provides that no “person shall fail to provide information or testimony or to permit an inspection and copying of books, records, or

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<sup>1</sup> For more information about the respondent, visit BrokerCheck® at [www.finra.org/brokercheck](http://www.finra.org/brokercheck).

accounts pursuant to this Rule.” A failure to timely comply with a request for information and documents issued pursuant to FINRA Rule 8210 is a violation of the rule. It is also a violation of FINRA Rule 2010, which requires associated persons in the conduct of their business to “observe high standards of commercial honor and just and equitable principles of trade.”

In connection with an investigation relating, among other things, to Respondent’s disclosed outside business activity, on September 9, 2021, FINRA sent Respondent a request for information and documents pursuant to FINRA Rule 8210. The information and documents were due on October 20, 2021. After Respondent made a partial production on October 22, 2021, FINRA agreed to accept the balance of the production no later than December 6, 2021. Respondent belatedly produced additional documents on January 19, 2022, but failed to make a complete production until May 26, 2022, more than five months after the extended due date, and only after FINRA followed up in writing noting the deficiencies in the prior responses.

On April 28, 2022, FINRA sent Respondent a request for information and documents pursuant to FINRA Rule 8210 that contained sixteen request items. FINRA granted Respondent’s request for an extension of time to respond until June 2, 2022. Respondent produced information and documents responsive to only one of the requests on May 26 and June 2, 2022. On June 17, 2022, FINRA notified Respondent that her response was incomplete. Respondent made another production on June 27, 2022, but that production did not respond to the outstanding requests. Accordingly, on July 20, 2022, FINRA sent a second request for the missing information and documents pursuant to FINRA Rule 8210. Respondent belatedly made a complete production on August 17, 2022, approximately two and one-half months after the original extended due date.

By failing to timely respond to FINRA’s Rule 8210 requests for information and documents, Respondent violated FINRA Rules 8210 and 2010.

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

- a six-month suspension from associating with any FINRA member in all capacities; and
- a \$5,000 fine

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

Respondent specifically and voluntarily waives any right to claim an inability to pay, now or at any time after the execution of this AWC, the monetary sanction imposed in this matter.

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.

## 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.
- D. Respondent may attach a corrective action statement to this AWC that is a statement of demonstrable corrective steps taken to prevent future misconduct. Respondent understands that she 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.

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 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.

March 10, 2023

*Maria P. Acevez Perez*

\_\_\_\_\_  
Date

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Maria Acevez Perez  
Respondent

Reviewed by:

*Robert M. Bursky*

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Robert Bursky  
Counsel for Respondent  
68 S. Service Rd, Ste. 100  
Melville, NY 11747

Accepted by FINRA:

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

March 13, 2023

*Catherine Moore*

\_\_\_\_\_  
Date

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Catherine Moore  
Counsel  
FINRA  
Department of Enforcement  
9509 Key W. Ave.  
Rockville, MD 20850