

STATE OF OKLAHOMA
DEPARTMENT OF SECURITIES
204 NORTH ROBINSON, SUITE 400
OKLAHOMA CITY, OKLAHOMA 73102



In the Matter of:

Danielle Jean McAniff (CRD No. 5766774),

Respondent.

ODS File 18-101

AGREEMENT

THIS AGREEMENT is entered into between Danielle Jean McAniff (“**Respondent**”) and the Administrator of the Oklahoma Department of Securities (the “**Administrator**” and the “**Department**”) (collectively, the “**Parties**”), as of the Effective Date set forth below.

Respondent is a resident of New Mexico. Respondent has a pending application for registration under the Oklahoma Uniform Securities Act of 2004 (“**Act**”), Okla. Stat. tit. 71, §§ 1-101 through 1-701 (2011 and Supp. 2017), as an agent of NEXT Financial Group, Inc.

On July 21, 2016, Respondent’s previous employer, Edward Jones, permitted her to resign “after the completion of an internal review regarding failure to comply with the Firm’s signatures policy.”

On November 20, 2017, Financial Industry Regulatory Authority (“**FINRA**”) accepted a Letter of Acceptance, Waiver and Consent (“**AWC**”) from Respondent relating to her activities that led to her resignation from Edward Jones. Pursuant to the AWC, Respondent was suspended from association with any FINRA-regulated broker-dealer in any capacity for two months and fined \$5,000.

The AWC constitutes grounds for an order conditioning or limiting Respondent’s registration under the Act pursuant to Section 1-411 of the Act.

The Parties wish to settle this matter without litigating any issue of law or fact.

The Parties hereto agree as follows:

1. **Jurisdiction.** The Administrator has jurisdiction over Respondent and the subject matter of this Agreement.

2. **No Solicitation.** Respondent will not solicit any new customers residing in Oklahoma. After one year from the Effective Date of this Agreement, Respondent may request, in writing, that this restriction be lifted. At the discretion of the Administrator, after considering any new disclosure items in Respondent's record in the Central Registration Depository ("CRD"), the Administrator may grant or deny Respondent's request for the restriction to be lifted.

3. **Notify Oklahoma Customer.** Respondent will send a copy of the AWC to her pre-existing Oklahoma customer within thirty (30) days of the Effective Date of this Agreement.

4. **Registration.** Respondent's pending application for registration under the Act will be approved as restricted as of the Effective Date of this Agreement.

5. **No Coercion.** Respondent enters into this Agreement voluntarily and without any duress, undue influence, or coercion by the Administrator, any employee of the Department, or any member of the Oklahoma Securities Commission.

6. **Public Record.** This Agreement is a public record and will be available for public examination, pursuant to Section 1-607 of the Act. A Form U6 may also be filed by the Department in CRD.

7. **Consideration.** In consideration for this Agreement, the Administrator will not take further action against Respondent in connection with the allegations set forth above, except as provided for in paragraphs 8 and 9 below.

8. **Failure to Comply.** If Respondent fails to comply with this Agreement, this Agreement shall be treated as an Order issued under the Act, and the Administrator may take any action authorized by law.

9. **Limitation on Agreement.** Nothing in this Agreement shall prohibit the Administrator from furnishing information to any other properly constituted agency or authority. In the event any other agency or authority commences an action against Respondent based upon information obtained from the Administrator, the Administrator may assist in such action as authorized by law.

10. **Entire Agreement.** This writing constitutes the entire agreement of the Parties with respect to the subject matter hereof and

supersedes any and all prior and contemporaneous agreements, representations and understandings of the Parties. No supplement, modification or amendment to this Agreement shall be binding unless executed in writing by each of the Parties hereto.

11. **Applicability.** This Agreement applies only to the activities of Respondent, and to no others. It is further agreed that the execution of this Agreement does not mean that the Administrator has approved, condoned or passed in any way upon the merits or qualifications of, or recommended, the transactions to which it relates or any future securities transactions.

12. **Effective Date.** This Agreement shall be effective as of the date on which it is signed by the Administrator as set forth below his signature hereto.

The Parties have executed this Agreement as of the date and year set forth below their signatures hereto.


DANIELLE JEAN MCANIFF (CRD NO. 5766774)

Date: 5/1/2018

OKLAHOMA DEPARTMENT OF SECURITIES

By: 
Irving L. Faught, Administrator

Date: 5/10/18