

January 19, 2021

Via Electronic Submission

J. Matthew DeLesDernier
Assistant Secretary
Securities and Exchange Commission
100 F Street, NE
Washington, DC 20549-1090
rule-comments@sec.gov

Re: File Number SR-FINRA 2020-030

Dear Assistant Secretary DeLesDernier:

The PIABA Foundation writes to comment on the series of changes to FINRA's expungement process proposed by SR-FINRA 2020-030 dated October 1, 2020. We refer to the changes to FINRA's proposal set forth in a December 18, 2020 letter from FINRA to the SEC (the "Revised Proposal"). We thank the Commission for requesting comment on the Revised Proposal. For the reasons set forth below, the PIABA Foundation opposes the Revised Proposal and requests a hearing pursuant to Rule 19b-4.

The undersigned are President and Vice President of The PIABA Foundation¹ and both have years of experience representing parties in FINRA arbitrations. In October 2019, the undersigned co-authored a study of FINRA's expungement process in which we identified several serious problems. The 2019 Expungement Study², which studied all expungement awards issued between January 2015 to August 2019 is attached hereto. The undersigned have also personally represented customers opposing expungement requests on a *pro bono* basis. Our personal experiences with the process reinforce the grave concerns we have about the current expungement system.

¹ The PIABA Foundation is a 501(c)(3) that is devoted to protecting investors from investment-related disputes through providing investor education. The PIABA Foundation is a separate entity from the Public Investors Advocate Bar Association ("PIABA") and does not speak for PIABA.

² JASON R. DOSS & LISA BRAGANÇA, 2019 STUDY ON FINRA EXPUNGEMENTS: A SERIOUSLY FLAWED PROCESS THAT SHOULD BE STOPPED IMMEDIATELY TO PROTECT THE INTEGRITY OF THE PUBLIC RECORD 15 (2019), <https://perma.cc/9FSY-GJ6F> (PDF) (an analysis of 1078 requests for expungement of customer complaints from 2015 to 2019).

It is imperative that the SEC and FINRA ensure expungement is granted only in extraordinary circumstances. Customer complaints have regulatory and investor protection value. When valid complaints are expunged, CRD and BrokerCheck become unreliable. This harms all users of CRD and BrokerCheck – the SEC, FINRA, state securities regulators, investors, and brokerage firms who use the information for various purposes. While FINRA says that expungement is “extraordinary relief,” historical data obtained from prior arbitration awards shows that arbitrators routinely grant broker requests for expungement and the requests are rarely opposed by the brokerage firms named as respondents.

I. Problems with FINRA’s Revised Proposal

A. Straight-In Requests cases are not treated as adversarial proceedings by the parties.

As Professor Benjamin P. Edwards points out in his comment letter, whether expungement should be granted is a regulatory decision that FINRA has forced into its dispute resolution system. A fundamental problem is that a dispute resolution system is not a proper venue for deciding expungement requests. As its name reveals, FINRA Dispute Resolution is designed to resolve disputes. In its guidance, FINRA instructs arbitrators who decide disputes that, “[a]rbitration is a method of resolving a dispute between two or more parties.” FINRA Arbitrator Guide at 9.

Rarely, however, are expungements disputed. Brokers and brokerage firms are rarely adverse parties to each other in expungement proceedings, presumably because removing customer complaints from the CRD database benefits the business of the broker and the brokerage firm. The 2019 Expungement Study proved this point, finding that expungement requests are not opposed by brokerage firm respondents 98% of the time. 2019 Expungement Study at 14.

B. Three arbitrators are no better than one.

FINRA’s proposed solution that a “randomly selected panel of three arbitrators” will reduce the number of expungements being granted is unfounded. While FINRA’s proposal to select arbitrators randomly is an improvement to the current process, it still provided no evidence that a panel of three arbitrators is more likely to deny expungement requests than a single arbitrator. In fact, the 2019 Expungement Study found just the opposite, i.e., panels of three arbitrators granted expungement requests at virtually the same rate as single arbitrators. For example, in 2015, three-arbitrator panels 92% of the time for three-arbitrator panels vs. 95% of the time for single arbitrators. Subsequent years showed the same results. See Bates No. 00158, Exhibit E, 2019 Expungement Study. As a result, the data shows that FINRA’s proposal to increase the number of arbitrators from one to three will not result in any reduction in the percent of expungement requests granted or that three arbitrators are more likely than a single arbitrator to treat expungement as an extraordinary remedy, as it was intended.

C. The Special Arbitrator Roster may compound the problem.

FINRA's proposal to have arbitrators randomly assigned from a roster of public arbitrators who are specially trained ("Special Arbitrator Roster") in expungements with the hope that these arbitrators will treat expungement as an extraordinary remedy has already proven to be a failed idea. The specialized arbitrators who have the most experience deciding expungement petitions are precisely those arbitrators whom brokers have selected over the years to rubberstamp expungement requests. The pool from which arbitrators will be randomly assigned will be overwhelmingly made up of those arbitrators who have been broker favorites for expungements.

FINRA's proposal to provide more training has similarly not worked. For years, FINRA has attempted to solve the problem of expungements being granted too frequently by providing arbitrators with more training in hopes that they will treat expungement as an extraordinary remedy. Yet, as shown in the 2019 Expungement Study, expungements continue to be granted more than 80% of the time. Award history, standing alone, illustrates that a roster of specially trained arbitrators will not solve the problem.

The 2019 Expungement Study showed that the most experienced and frequently selected arbitrators granted expungement at a higher rate than the average arbitrator. For example, the study analyzed all awards for the three arbitrators who had the highest number of awards in the country. The most prolific arbitrator granted expungement requests 97% of the time. The second most prolific arbitrator granted expungement 96% of the time. The third most prolific arbitrator granted expungement 95% of the time. In addition, the frequency in which these arbitrators were selected accelerated over time between 2015 and 2018. See Bates Nos. 00023-25, 2019 Expungement Study.

Pursuant to FINRA's proposed eligibility standards, all three of these arbitrators will be eligible for the Special Arbitrator Roster even though their arbitration award history demonstrates that they have not and likely will not treat expungement as an extraordinary remedy.

There are other unintended consequences to creating a Special Arbitrator Roster from the public chairperson roster. The 2019 Expungement Study identified that the same attorneys and law firms that represent brokers and brokerage firms in expungement proceedings also represent brokers and brokerage firms in FINRA arbitrations opposite customers. See Bates Nos. 00031-00099, 2019 Expungement Study. A consequence of the unopposed expungement proceeding is that the attorneys who are repeatedly participating in these expungements get the unfettered opportunity to make unbalanced and one-sided legal arguments and presentations to arbitrators about the validity of certain defenses that commonly arise in customer disputes.

Under FINRA's proposed rule, the arbitrators on the Special Arbitrator Roster must be chair-qualified from the public arbitrator pool, which means that these arbitrators serve as the chair in customer disputes. This unfettered access to these arbitrators by defense lawyers has the potential to poison the arbitrator public pool for future investment disputes. The PIABA

Foundation has already identified anecdotal evidence showing the existence of this phenomenon. For example, attached is an expungement award from FINRA Case No. 20-00639. In that case, the arbitrator granted the unopposed expungement of a customer complaint related to a non-traded REIT based on the prospectus defense. The award states as follows:

Pursuant to Rule 13805 of the Code of Arbitration Procedure (“Code”), the Arbitrator, has made the following Rule 2080 affirmative finding of fact:

The claim, allegation, or information is factually impossible or clearly erroneous. The Arbitrator has made the above Rule 2080 finding based on the following reasons:

The customer wrote a complaint letter to Claimant, dated March 13, 2012 with respect to several issues. Among other things, the customer requested that his holdings in a real estate investment trust (“REIT”) at Morgan Keegan & Company, Inc. (“Morgan Keegan”) be rolled over or, alternatively, liquidated and the proceeds transferred. Additionally, the customer objected to being charged an annual fee on an account which he had previously requested be closed and alleged that he had not been advised that he “could not get out of” the REIT. Morgan Keegan responded in a letter dated August 8, 2012, informing the customer that the prospectus for the non-traded REIT, which he signed for, clearly stated that “[t]he shares are not liquid, there is no current market for the shares and [you] may not be able to sell the securities.” Additionally, forms were provided to the customer to allow his shares to be held with the transfer agent rather than Morgan Keegan, which would enable his account to be closed and eliminate any future annual fees. As a consequence of providing the prospectus, which clearly stated that the security that the customer purchased was not liquid, the customer was aware or should have been aware that he would not be able to sell the securities. **Therefore, his claim is clearly erroneous.**

See Bates Nos. 00160-166, attached Award. Attorneys who represent customers in disputes with brokers and brokerage firms and regulators know that the prospectus defense is not available when brokers and their firms make oral material misrepresentations in connection with selling non-traded REITs, which are very complex investments to understand. This award shows that the arbitrator accepted the prospectus defense *carte blanche* now taken the position, in writing, that customers who bring these types of claims are **clearly erroneous**, which is not legally correct.

Under FINRA’s Revised Proposal, three arbitrators will be hearing these expungements as opposed to one arbitrator and as a result, the brokerage industry will have the unfettered opportunity to educate three times as many arbitrators (all three are chair-qualified arbitrators from the public pool) by presenting invalid defenses without opposition from customers or their legal counsel.

- D. Customers will remain unable to meaningfully participate in expungement proceedings.

FINRA agrees that customer participation in expungement proceedings is an extremely important determinant in the outcome of the proceeding. The 2019 Expungement Study shows that of the 1078 expungement cases filed between 2015 and 2019, customers appeared to oppose the expungement requests only 141 times – approximately 13% of the time. *See* Bates Nos. 00015-00016, 2019 Expungement Study. The study found, however, that when customers opposed expungement, arbitrators denied the requests 36% of the time. In contrast, when customers did not object or participate, arbitrators denied the expungement request only 9% of the time. Based on this data, the 2019 Expungement Study concluded that arbitrators are 400% more likely to deny an expungement request when customers object. The 2019 Expungement Study also found that arbitrators are 436% more likely to deny expungement requests when brokerage firms object to the expungement request. This data unquestionably leads to the conclusion that the most effective way to reduce the rate in which arbitrators grant expungement is to present the arbitrators with evidence to oppose the request.

The data also demonstrates the value of customer participation. Yet, FINRA's Proposal does not permit the customer to be a party in the proceeding, does not ensure that the customer can see what the broker and firm have said about them, and does not ensure the customer is represented by counsel. Because the customer is not a party, the customer is not entitled to a recording of the testimony that they give or the testimony of the broker calling them a liar.

FINRA's Revised Proposal provides that customers will get more timely notice of filed expungements and be permitted to attend the prehearing conference, which is laudable. But these revisions still leave customers with little knowledge of what they are opposing. While a customer may read the petition for expungement and the firm's "answer," there is significantly more that is presented to the arbitration panel. The customer must make special requests and may not get to hear the testimony of the broker that the customer complaint was "false" or "factually impossible" or obtain documents that the broker has introduced as evidence. Under FINRA's Proposal, customers are to show up and respond to allegations and facts that are not disclosed to them.

While FINRA's proposal seeks to encourage participation by customers by providing more advanced notice of the proceeding, FINRA does not provide any data to show that more advance notice would necessarily cure the problem. After all, the data shows that customers only appear to oppose expungement 13% of the time and there are many legitimate reasons that customers are unwilling or unable to participate in these expungement hearing that have nothing to do with the merits of the request.

The Revised Proposal gives customers the right to "appear" at the prehearing conference for expungement proceedings. This is just providing early notice of the filing of the petition, which is helpful but not enough. An arbitration panel may, or may not, be willing to schedule the hearings to ensure the customer can participate. The customer does not have the right to be present for the entire expungement proceeding. Nor is there any provision to ensure that the broker/brokerage firm consult with a customer seeking to appear at a hearing when they are choosing or rescheduling hearing dates.

FINRA declined to give customers the right to obtain anything more than the expungement petition and any answer that may have been filed. Customers who seek to be heard are not given access to the documents that the broker and brokerage firm have filed on the FINRA Portal. Customers are required to file a motion to compel the broker/brokerage firm to provide them with documents and other information provided to the arbitrator. The arbitrator has the discretion to deny that request. It makes no sense to have the integrity of the expungement determination turn on the participation of the customer who, even when willing to participate, lacks the means to effectively participate.

II. Proposed Solutions to FINRA’s Revised Proposal Based on Data.

A. The SEC should create an Advocate in the expungement process that serves a role like that of a *guardian ad litem* in court proceedings.

There is ample data to support the conclusion that expungement requests should not be handled in FINRA arbitration at all because the requests are better suited for resolution in a regulatory setting. If the expungement process is going to remain in FINRA arbitration, however, the PIABA Foundation recommends that FINRA and/or the SEC create and embed an investor protection advocate (“Advocate”) into the expungement process similar to the role that a *guardian ad litem* serves in a court case.

This recommendation is supported by data. As explained above, the 2019 Expungement Study found that arbitrators are over four (4) times more likely to deny expungement requests when they are presented with any evidence that the request should be denied. Thus, the most effective way to reduce the number of expungements is not to increase the number of arbitrators per case, blur the traditional roles of arbitrators with becoming factfinders, require additional training or create a special roster of arbitrators. The data shows that arbitrators are treating expungement requests like an unopposed motion in court or arbitration and the solution is to create an opportunity for evidence to be gathered and presented to the arbitrators in opposition to the expungement request, when appropriate. Ideally, evidence opposing expungement would come from the customer who made the complaint, but the 2019 Expungement Study found the preservation of the integrity of the CRD database cannot and should not depend on customer participation.

The Advocate would serve to advocate for the integrity of the regulatory record and would be responsible for investigating the customer complaint, obtaining and reviewing documents, interviewing the customer, customer’s counsel, and any other relevant witnesses. The Advocate would assist those customers who want to appear and oppose the request, if appropriate. The Advocate would also participate in the expungement hearing by making an opening statement, cross examining the individual broker, presenting testimony and documents, and provide a recommendation to the arbitrator(s).

In further support of this recommendation, in October 2019, the PIABA Foundation created a *pro bono* expungement program where experienced attorneys in FINRA arbitration volunteer to represent customers without charge in these expungement proceedings. We are pleased to announce that we have successfully represented several customers in opposing

expungements. We have found the process to be rewarding not only because we have obtained awards denying expungement requests, but we also have a better understanding why customers are unwilling to come forward and oppose expungement requests. For example, under the current system, customers receive notice from the brokers' attorney notifying them of the upcoming expungement hearing. Customers are not going to spend money for an attorney and the process is simply too daunting for the vast majority customers to represent themselves *pro se*. FINRA's Revised Proposal for more advanced notice will not cure this problem. In addition, for those customers who previously settled their cases, they were concerned that they would potentially breach the confidentiality or non-disparagement provisions in their settlement agreements and forfeit their settlement payments if they opposed expungement. While FINRA's rules do not allow brokerage firms to condition settlement on a customer's agreement not to oppose expungement, a customer without an attorney, does not have the ability to know about that or navigate the legal considerations of opposing expungement. As a result, without an Advocate, *pro se* customers will continue to choose not to participate in expungement proceedings even with more notice.

The PIABA Foundation's *pro bono* expungement program has provided valuable legal assistance to customers and we are attempting to grow the program through obtaining grants that will cover the out-of-pocket costs related to representing customers in these disputes. In fact, in December 2020, the PIABA Foundation received its first grant from the Investor Protection Trust as seed money for the *pro bono* program. The PIABA Foundation is seeking funding from other sources to grow the program and is willing and able to work with FINRA and the SEC to further develop and implement the proposed Advocate role should the opportunity arise.

This proposed solution is a better approach than FINRA's proposal to expand arbitrators' roles from a neutral to a factfinder. FINRA provides no data or evidence to show that allowing arbitrators to request documentary, testimonial or other evidence that it deems relevant to the expungement request will, in fact, reduce the rate of expungements being granted. Saddling arbitrators with the primary responsibility of being a factfinder widely deviates from FINRA's current guidance which express discourages arbitrators from being factfinder. In fact, FINRA's arbitrator training materials prohibit its arbitrators from conducting their own independent investigations into the validity of the underlying customer complaints. FINRA Dispute Resolution Arbitrator's Guide states in pertinent part:

Questions by Arbitrators and Factual Investigations

Each case must be judged solely on the written and testimonial evidence presented at the hearing. Each arbitrator has a right to question witnesses. Even though it is proper for an arbitrator to ask questions, every effort should be made to avoid taking over a hearing or becoming an advocate. Parties and their attorneys should be permitted to try their own cases. Generally, arbitrators should refrain from questioning a witness until all parties have finished their examination.

Arbitrators should not make independent factual investigations of a case. When arbitrators are in doubt about an issue, legal or otherwise, they should request

briefs from the parties. If cases are cited in a party's motion or brief, and the arbitrators wish to read the full court opinions, the arbitrators should ask the parties to supply copies. Arbitrators generally should review only those materials presented by the parties.

See FINRA Arbitrator's Guide at page 60 (emphasis added).

In addition, expanding the arbitrators' role may have the unintended consequences. For example, it may lessen pressure on the parties seeking expungement to affirmatively disclose facts that undermine their request because they would be permitted to rely on the arbitrator to advocate against expungement relief. This tension between advocacy and neutrality may lead to the arbitrators abandoning their role as a neutral, which may violate their ethical obligations and expose the award to risk of vacatur pursuant to 9 USC §10 of the Federal Arbitration Act. The proposed Advocate satisfies FINRA's goal of eliminating one-sided presentations by brokers seeking expungement and at the same time, the Advocate will preserve the traditional roles of the parties as advocates and leaves intact the neutral role of the arbitrators.

FINRA has previously used pilot programs to test potential new changes to the arbitration process. A pilot program may be a good way to test the effectiveness of the proposed Advocate role.

B. The arbitrators on the Special Arbitrator Roster should be moved to the non-public arbitrator pool so that parties in customer disputes have unlimited strikes.

As explained above, the data from prior expungement awards indicates that the creation of a Special Arbitrator Roster will not reduce the percentage of expungements being granted and that the creation of a special roster may have unintended consequences that may harm customers in future cases. After all, these same expungement arbitrators are also chair-qualified public arbitrators in customer cases. The PIABA Foundation has grave concerns that attorneys representing the brokerage industry will have an unfair advantage in customer disputes because they are repeat players, and they will have unfettered access to present the pool of public chairpersons with invalid defenses such as the prospectus defense.

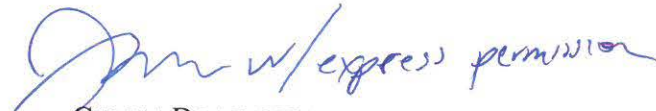
Under FINRA's Code of Arbitration, customers are limited in the number of arbitrators that they can strike from the list of public arbitrators when selecting an arbitration panel in a dispute with the brokerage industry. Customers should not be required to use any of their strikes on chair-qualified public arbitrators because of decisions that they make in unopposed expungement proceedings. The solution is either: (1) change the proposed eligibility criteria to either create the Special Arbitrator Roster arbitrators from the non-public arbitrator pool or (2) reclassify the chair-qualified arbitrators serving on the Special Arbitrator Roster to the non-public pool. Either change will allow customers to exercise the unlimited number of strikes to remove them in future customer disputes.

Thank you again for requesting comment on the Revised Proposal. For the reasons set forth above, the PIABA Foundation opposes the Revised Proposal, requests that the Commission adopt the PIABA Foundation's recommendations described above and requests a hearing pursuant to Rule 19b-4.

Sincerely,



JASON R. DOSS
President



CELIZA BRAGANÇA
Vice-President

THE PIABA FOUNDATION

2019 STUDY ON FINRA EXPUNGEMENTS

**A SERIOUSLY FLAWED PROCESS
THAT SHOULD BE STOPPED IMMEDIATELY
TO PROTECT THE INTEGRITY OF THE PUBLIC RECORD**

Authored By:

Jason R. Doss and Lisa Bragança

On Behalf of The PIABA Foundation



FOREWORD

The PIABA Foundation (“Foundation”) is a 501(c)(3) charitable organization that was formed in 2012 by attorneys who are devoted to representing investors in disputes with brokers and brokerage firms in FINRA arbitrations. The Foundation’s mission is to promote investor protection through investor education. The Foundation’s research and work to release this Study was performed by attorney volunteers with experience in representing parties in FINRA’s arbitration process and the funds to purchase the data for this Study was paid for through charitable donations. The Foundation would like to thank all of our donors for making this important Study a reality. The co-authors of this Study would like to thank the other Foundation Board members, Peter Mougey, Richard Frankowski and Jennifer Shaw as well as PIABA and the members of the PIABA Board for your input and support. A special thank you to Alan Perry, Jr. for your thoughts and helpful insights.

FINRA’s BrokerCheck tool provides critical educational information about brokers that helps investors make informed decisions about who they allow to manage their life savings. FINRA arbitrations are private disputes and obtaining information about FINRA’s expungement hearings is not easy for ordinary consumers. The goal of this Study is to raise awareness of the abuses happening in FINRA’s expungement process and to educate the public. Our hope is that it will provide useful and important information to those with oversight authority to correct the serious flaws in FINRA’s expungement system.

Recognizing that this Study is just the first step in correcting the problems outlined here, the Foundation also has started a program that will coordinate with attorneys and law school clinics to represent consumers who wish to participate and oppose expungement requests *pro bono*. The costs necessary to administer this *pro bono* program and the expenses for consumers and attorneys to participate in these expungement proceedings in arbitration, (e.g. court reporter costs) will also be funded through charitable donations. For more information about The PIABA Foundation, please feel free to visit our website, www.piabafoundation.org.

EXECUTIVE SUMMARY

The FINRA process by which brokers can “expunge” (erase) supposedly irrelevant or unfair information from the state sponsored-FINRA database used to generate BrokerCheck reports for investors is broken. It is being systematically gamed, exploited and abused with one-sided hearings, manipulation of arbitrator selection, deletion of significant customer complaints, and abusive (and possibly fraudulent) conduct to such an extent that it must be frozen immediately until they system can be fully vetted and repaired. Until such a time, BrokerCheck cannot be considered a reliable tool for investors to use when researching the background of brokers.

From 2015-2018, there has been an explosive increase in the filing of what are known as “Expungement-Only” cases, which rose 924% from 2015 to 2018. (An Expungement-Only case, as described in more detail below, is an arbitration initiated by a broker against their own member firm solely for the purpose of seeking expungement, without naming the customer).

The 2,194 customer complaints contained in 1,078 arbitration proceedings that brokers requested be expunged increased by 1016% from 2015 to 2018. One individual broker successfully requested that twenty-four (24) complaints be expunged in a single proceeding.

Expungement-Only cases are destroying the integrity of the arbitration process and of BrokerCheck, a key tool used by investors to research brokers:

- The rise of “\$1.00 Expungement Cases” is evidence of corruption in FINRA’s expungement process. Brokers and brokerage firms have been gaming FINRA’s arbitration system by including a \$1.00 demand in damages to reduce the number of arbitrators reviewing expungement requests and to make it cheaper for brokers to get customer complaints expunged and then withdrawing their request at the expungement hearing. From 2015-2018, the number of cases in which nominal damages were requested in the broker’s statement of claim increased from six in 2015 to 456 cases in 2018. In 2018, 84% of all Expungement-Only cases included a request for nominal damages. In total, brokers requested nominal damages 780 times and 756 of those requests (i.e., 97%) requested \$1.00.
- A handful of law firms are repeat players in these cases. For example, only two law firms represented at least one party to Expungement-Only cases in 785 out of 1,078 cases [73% of all cases reviewed]. Data strongly suggests that parties

to Expungement-Only cases have been coordinating to hand-pick “friendly” arbitrators who will be more likely to grant expungement. For example, between 2015 and 2018, the number of arbitrators who issued three (3) or more expungement awards in a given year increased over 6000%. Also, the three arbitrators most frequently selected granted expungement requests over 95% of the time.

- FINRA is essentially subsidizing the most abusive expungement cases with the sham \$1 damage claims. FINRA lost at least \$8,050.00 per case in revenue in \$1.00 Expungement Cases, which amounts to more than \$6 million in lost revenue in 789 cases, a modest portion of which would be sufficient to pay for the recommended remedies outlined in this Study.
- Brokers and their firms have an interest in erasing customer complaints from the brokers’ records and as a result, are not truly in opposition to each other in an Expungement-Only case. Of the 1,078 cases, the respondent brokerage firm did not object or otherwise oppose the individual broker’s expungement request 1,055 times – over 98% of the time.
- Expungements requests in Expungement-Only cases are rarely opposed by either brokerage firms or customers. Customers are supposed to receive notice and be able to appear and object at an expungement proceeding, although it is not clear that always happens. FINRA does not have a process to ensure that the notice provided to customers adequately explains their right to appear and oppose it. Of the 1,078 cases, customers whose complaints are the subject of expungement requests participated and objected to brokers’ expungement requests only 141 times – approximately 13% of the time.
- When a brokerage firm or a customer opposes a request for expungement, arbitrators are significantly more likely to deny the request. But brokerage firms have little incentive to object. Even though respondent brokerage firms opposed expungement less than 2% of the time, doing so resulted in arbitrators denying the expungement requests about 48% of the time. In contrast, when brokerage firms did not object, arbitrators denied the expungement requests only 11% of the time.
- Expungement requests are being granted based upon one-sided and possibly false evidence presented to arbitrators. Because the vast majority of Expungement-Only cases are not opposed, there should be procedural safeguards in place to

prevent brokers from presenting one-sided, false or misleading information to arbitrators.

The PIABA Foundation thus makes the following recommendations:

- FINRA should halt all expungement proceedings immediately and impose a moratorium on the filing of Expungement-Only cases until procedural safeguards are put into place to correct the problems identified in this Study;
- FINRA should commission an independent outside investigation of whether expungements have been granted based upon false and/or fraudulent information;
- FINRA's BrokerCheck and the state sponsored-FINRA Central Registration Depository (CRD) should carry a prominent warning that they are unreliable inasmuch as they do not include all customer complaints because expungement may have resulted in the removal of pertinent information; and
- The SEC or FINRA should establish an Investor Protection Advocate who would be named as a party in every expungement proceeding to ensure the integrity of the process.

INTRODUCTION

The Financial Industry Regulatory Authority (“FINRA”) works with state securities regulators to maintain a database, known as the Central Registration Depository (“CRD”), of information on individuals working as current and former registered representatives in the brokerage industry. Complaints by investors, for example, are included in the CRD records. Some of the information from a broker’s CRD records, including some customer complaints, can be accessed by the public through FINRA’s BrokerCheck tool on FINRA’s website. An actual CRD can be obtained from some state securities regulators, although no regulators advertise the availability of those records to the investing public. Rather, FINRA as well as state and federal securities regulators actively encourage investors to use FINRA’s BrokerCheck tool and look for customer complaints when deciding whether to hire a particular broker. Therefore, as FINRA recognizes, it is important that the information on CRD, and by extension BrokerCheck, be complete and accurate.

In order to remove customer complaint information from the CRD record, a broker must request that the information be expunged. A broker can request expungement during the actual customer arbitration if one is filed. A broker also may request expungement in a separate case, after the conclusion of the initial arbitration claim. If an arbitration panel grants the request and the broker obtains court confirmation of the arbitration award, the information is removed from the CRD and BrokerCheck. FINRA recognizes that customer complaints should be removed only in extraordinary circumstances. FINRA instructs arbitrators to grant the extraordinary remedy of expungement only after they make an affirmative finding that:

- (A) the claim, allegation or information is factually impossible or clearly erroneous;
- (B) the registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation or conversion of funds; or
- (C) the claim, allegation or information is false.

Over time, FINRA has expanded the type of customer complaints that must be reported on a broker’s CRD. In May 2009, FINRA expanded its rules to require CRD reporting of customer complaints where a financial advisor was the broker of record for the customer, even if the financial advisor is not named as a party to the arbitration. That change resulted in a drastic increase in the number of complaints

being reported, and in turn, a drastic increase in the number of expungements being sought. Since then, advocates for and against the expungement process have debated the best way to effectively balance the competing interests of full and complete disclosure and protection of brokers' reputations.

This PIABA Foundation study (the "Study") reveals that parties in Expungement-Only cases are abusing the expungement process to erase thousands of customer complaints from their records. The current expungement process fails to properly balance the interests of investors, regulators, and the public in the CRD maintaining complete and accurate information about brokers against the interest of brokers in protecting their reputations from false customer complaints. This failure in the expungement process appears to permit brokers to expunge legitimate customer complaints and thus undermines the accuracy and completeness of CRD records and BrokerCheck. Expungement is being granted as a matter of course, not just as an extraordinary remedy.

Prior reports from other institutions have revealed some of the ongoing problems with the expungement process and provided evidence that expungements are being granted too often and that requests are not being treated as an extraordinary remedy. To date, FINRA's response mainly has been to require arbitrators to undergo training on the expungement process and the importance of CRD regulatory record. Late last month, FINRA announced that its Board approved a rule amendment to "create, among other things, a roster of arbitrators with enhanced training and experience from which a panel would be selected in certain instances to decide an associated person's request to expunge customer dispute information."¹ FINRA did not explain what those "other things" might be and does not identify the "certain instances" in which the expungement roster will be utilized.

There is no reason to believe additional training will have any effect on this problem. FINRA has already tried providing additional expungement training to arbitrators and prior studies have shown that the training didn't result in arbitrators granting fewer expungements or treating the process as an extraordinary remedy. Despite the additional training, arbitrators continue to grant requests for expungement at almost the same alarming rate, supporting the conclusion that additional training has not worked to resolve the problem.

¹<https://www.finra.org/media-center/newsreleases/2019/report-finra-board-governors-meeting-september-2019>

A significant issue with the current system is the incredible growth of Expungement-Only cases. An Expungement-Only case is an arbitration initiated by a broker against their own member firm solely for the purpose of seeking expungement, without naming the customer.² These cases are typically filed after an underlying customer complaint is settled by the brokerage firm. Since the beginning of 2015, there has been an explosive increase in the number of Expungement-Only cases filed. As a result, the Foundation commissioned this Study to analyze arbitration awards in Expungement-Only cases to determine whether FINRA's arbitration practices and procedures adequately protect the integrity of information about brokers on the CRD.

Expungement-Only cases are problematic for a number of reasons. First, the request for expungement in these cases is rarely opposed. Brokerage firms named as respondents rarely oppose a broker's request for expungement. Similarly, customers typically do not participate in these hearings, as their underlying case has already been resolved. It is the rare customer who would say that their complaint was false or factually impossible. Yet, customers do not typically appear in Expungement-Only cases. This may be because of inadequate notice. Instead of providing notice to a customer whose complaint is the subject of a request for expungement, FINRA delegates that responsibility to the requesting broker. The Foundation's Study shows that FINRA does not have adequate procedural safeguards in place to ensure that brokers provide timely, accurate and meaningful notice of the expungement hearing to customers. Even when proper notice is given, customers who have settled their cases may not want to relitigate their dispute or may have a difficult time retaining an attorney to help them to oppose expungement.

As a result, in most Expungement Only cases, neither the customer nor the brokerage firm presents evidence that the request should be denied. Expungement requests are being granted based upon one-sided and possibly false evidence presented by brokers. FINRA instructs arbitrators to evaluate the validity of brokers' requests for expungement but fails to ensure that they have sufficient information to do so. As a result, it appears that arbitrators treat these cases the way judges treat

² Several years ago, brokers initiated some Expungement-Only cases by bringing an arbitration case against customers. Due to a number of reasons, including backlash from consumer advocates, they ceased that practice. Now, the vast majority of Expungement-Only cases are filed by brokers against their brokerage firm. This Study includes data from cases where brokers named customers as well as brokerage firms as respondents in Expungement-Only cases.

unopposed or consent motions in court and grant them unless there is an extraordinary reason not to do so. Thus, expungement is being *denied* only in extraordinary circumstances, the exact opposite of what is supposed to be happening.

To make matters worse, the data strongly suggests that the parties to Expungement-Only cases are coordinating with each other in the arbitrator selection process to hand-pick arbitrators that will be more likely to grant expungement. The legitimacy of FINRA's arbitrator selection process depends on adverse parties ranking and striking arbitrators. FINRA provides each party with a list of potential arbitrators and each party ranks and strikes arbitrators on the list. In cases where parties are adverse to each other, like investor disputes, investors will rank and strike arbitrators in accordance with who they believe will rule in their favor. Brokerage firms rank and strike the list based on which arbitrators they believe will rule against the investor. If the parties are not adverse to each other, FINRA's arbitrator ranking system cannot work properly because the broker and brokerage firms can coordinate with each other to pick the arbitrator most likely to grant expungement.

The Study shows that certain arbitrators are being repeatedly selected by the same law firms representing parties to Expungement-Only cases. For example, from 2015 to 2018, the number of arbitrators who issued three (3) or more expungement awards in a given year increased by 6,100%. In addition, the top three arbitrators selected most frequently by parties between 2015 and 2018 recommended expungement in almost every case. If FINRA creates a roster of experienced and specially trained arbitrators to handle expungement cases, as it has recently proposed, it could institutionalize the problem of high expungement rates by sending all Expungement-Only cases to "expungement friendly" arbitrators.

The Study also found that brokers and brokerage firms have been gaming FINRA's arbitration process by including a \$1.00 demand in damages to reduce the number of arbitrators reviewing expungement requests from a panel of three arbitrator to a single arbitrator. Brokers often then withdraw their nominal damage request at the evidentiary hearing. The \$1.00 trick (\$1 Expungement Cases) also made it cheaper for brokers to get customer complaints expunged. The Study found that by allowing its members to file these cases, FINRA has lost over \$6 million in revenue.

Finally, and perhaps most importantly, the Study found that arbitrators are over 4 times more likely to deny expungement requests when they are presented with any evidence that the request should be denied. Thus, the most effective way to reduce the number of expungements is not to require additional training or create a

roster of specialized expungement arbitrators, but to ensure arbitrators hear evidence that the expungement request should be denied. Since brokerage firms have no incentive to oppose expungement and customers have legitimate reasons not to want to participate in these proceedings, the Foundation recommends that FINRA and/or the SEC create an investor protection advocate (“Advocate”) that is independent from FINRA to participate in every Expungement-Only case.

The Advocate would be responsible for investigating the customer complaint, obtaining and reviewing documents, interviewing the customer, customer’s counsel, and any other relevant witnesses. The Advocate would assist those customers who want to appear and oppose the request. The Advocate would also participate in the expungement hearing by making an opening statement, cross examining the individual broker, presenting testimony and documents, and making a closing argument. Given that this Study has uncovered that FINRA has forgone over \$6 million in forum fees as a result of allowing \$1 Expungement Cases, FINRA should pay for the cost of establishing the Advocate by eliminating this abusive practice.

In addition to creating the Advocate, the Foundation makes the following recommendations to immediately stop further harm to the integrity of BrokerCheck and the CRD:

- FINRA should stay all pending Expungement-Only cases immediately and impose a moratorium on the filing of Expungement-Only cases until procedural safeguards are put into place to prevent the critical problems identified in this Study;
- FINRA should commission an independent outside investigation of whether expungements have been granted based upon false and/or fraudulent information as well as whether parties to Expungement-Only cases have been coordinating to hand-pick expungement-friendly arbitrators; and
- BrokerCheck and CRD should carry a prominent warning that they are unreliable inasmuch as they do not include all customer complaints because expungement may have resulted in the removal of pertinent information.

METHODOLOGY

In preparing this study, the Foundation reviewed data that it requested Securities Arbitration Commentator (“SAC”) to provide with respect to all arbitration awards issued in Expungement-Only cases filed from January 1, 2015 through December 31, 2018 and resolved with an award on or before July 31, 2019 (the “Review Period”).

The Foundation requested that SAC extract the following information for each Expungement-Only award and for each case:

- (a) Docket No;
- (b) Venue;
- (c) Date Case Filed;
- (d) First Date of Evidentiary Hearing;
- (e) Date Award Issued;
- (f) Name of Respondent(s);
- (g) Name of Respondents’ Attorney (Firm);
- (h) Name of Claimant Broker;
- (i) Name of Broker’s Attorney (Firm);
- (j) Whether Respondent BD Objected to Expungement;
- (k) Whether Customer Objected to Expungement;
- (l) Whether Expungement Was Granted, Denied, or Granted/Denied In Part;
- (m) Basis under Rule(s) 2080/2130 for Granting Expungement;
- (n) Name of Arbitrator;
- (o) Number of Hearing Sessions; and
- (p) Customer Notice, i.e. [Date, Details, if any, and # of Days Before Hearing].

See SAC Spreadsheet #1 attached as Exhibit A.

To analyze the number of customer complaints that brokers requested be expunged in each case, the Foundation also requested that SAC extract the following information:

- (a) Docket No.;
- (b) Name of Broker In Cases Where Expungement Was Granted;
- (c) Name of Broker In Cases Where Expungement Was Denied;
- (d) Number of Customer Complaints Requested To Be Expunged;
- (e) Results of Requests, [Granted, Denied, Granted In Part].

See SAC Spreadsheet #2 attached as Exhibit B.

To analyze the number of times that brokers filed separate cases requesting expungement, the Foundation also requested that SAC extract the following information for each Expungement-Only award:

- (a) Name of Broker; and
- (b) Number of Cases Filed (Granted/Denied).

See SAC Spreadsheet #3 attached as Exhibit C.

To analyze the number of cases in which brokers requested nominal damages as well a request for expungement, the Foundation also requested that SAC extract the following information for each Expungement-Only award:

- (a) Docket Number;
- (b) Date Award Was Issued; and
- (c) Amount of Nominal Damages Requested.

See SAC Spreadsheet attached as Exhibit D.

To prepare the report, the Foundation used the information from Exhibits A-D to create a Consolidated Spreadsheet, which is attached as Exhibit E.

Finally, documents are included in the Appendix to provide additional context and support of the Study's findings. These documents include:

- (a) Redacted Statements of Claims filed by brokers seeking to expunge complaints where the brokerage firms paid significant amounts to settle the underlying complaints.
- (b) Examples of notice provided by brokers' counsel to customers informing them of the upcoming evidentiary hearing for expungement.
- (c) Examples of arbitration awards showing the amounts of forum fees charged by FINRA in three arbitrators vs. single arbitrator cases to support that FINRA has subsidized \$1 Expungement Cases.

FINDINGS

I. Expungements Are Not Treated As An Extraordinary Remedy, As They Were Intended.

1. FINRA has always taken the position that expungement is an extraordinary remedy and should only be granted in appropriate circumstances.³ Yet, from 2015 to mid-2019, FINRA arbitrators granted expungement requests over 80% of the time.

Year	Expungements Granted (%)
2015	93
2016	81
2017	81
2018	81

Once these complaints are expunged, they disappear completely from CRD and BrokerCheck – making them no longer visible to investors or regulators.

II. The Number of Expungement-Only Cases Has Skyrocketed Since January 1, 2015.

2. During the Review Period, the number of Expungement-Only cases filed with FINRA increased by 924%.

Year	Cases filed
2015	59
2016	135
2017	339

³ See, e.g., FINRA Regulatory Notice 17-42 (“It has been FINRA’s long-held position that expungement of customer dispute information is an extraordinary measure, but it may be appropriate in certain circumstances.”) https://www.finra.org/sites/default/files/notice_doc_file_ref/Regulatory-Notice-17-42.pdf

2018	545
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3. According to data provided by SAC, the total number of awards involving expungement issued from 2015-2018, including but not limited to awards issued in Expungement-Only cases, is as follows:

2015 – 426 awards, 2016 - 385 awards, 2017- 499 awards, and 2018 - 734 awards.

As a result, Expungement-Only cases have clearly become the preferred choice for brokers seeking expungement.

4. Brokers in Expungement-Only cases frequently request that multiple customer complaints be expunged in a single case. As a result, while the total number of Expungement-Only cases during the Review Period was 1,078, the number of customer complaints that the brokers asked be expungement was 2,194, which is an average of approximately two (2) customer complaints per case.

5. The number of customer complaints that brokers requested be expunged from CRD increased by over 1016%.

Year	Number of customer complaints brokers requested be expunged
2015	102
2016	300
2017	756
2018	1036

6. One individual broker requested that twenty-four (24) complaints be expunged in a single proceeding. The arbitrator granted the broker’s request to expunge all twenty-four (24) of those complaints after conducting only a single hearing session lasting less than four hours. *See* FINRA Award Case No. 17-02465. This is not an isolated incident. The Study found eleven (11) cases in which brokers requested the expungement of ten (10) or more customer complaints in a single case.

7. In 90% of Expungement-Only cases, arbitrators held only one evidentiary hearing (which lasted 4 hours or less) and the vast majority of the hearings were telephonic. Examples of Statements of Claim filed by brokers in

Expungement-Only cases seeking to expunge customer complaints where the brokerage firm settled for significant amounts of money are including in the Appendix.

III. Expungement Requests are Rarely Opposed by Brokerage Firms or Customers

A. Expungement Requests Are Not Opposed By Respondent Brokerage Firms 98% Of The Time.

8. Brokerage firms very rarely oppose brokers' requests for expungement. Of the 1,078 cases, the respondent brokerage firm did not object or otherwise oppose the individual broker's expungement request 1,055 times out of 1,078 –over 98% of the time. Brokerage firms objected to these expungement requests in only 21 of the 1,078 total requests. That is less than 2% of the time.

B. Customers Participated and Opposed Expungement Requests Only 13% Of The Time.

9. Customers are not named parties in Expungement-Only cases and are therefore not required to participate in expungement hearings.⁴ Of the 1,078 Expungement-Only cases, customers whose complaints are the subject of expungement requests participated and objected to brokers' expungement requests only 141 times, –13% of the time.

C Arbitrators Are Significantly More Likely To Deny Expungement Requests When Someone Objects.

10. During the Review Period, even though respondent brokerage firms opposed expungement less than 2% of the time, when respondent brokerage firms opposed expungement, arbitrators denied the expungement requests 48% of the time. In contrast, when brokerage firms did not object, arbitrators denied the expungement requests only 11% of the time. Therefore, arbitrators are 436% more likely to deny expungement requests when a brokerage firm objects to the expungement request.

⁴ The Foundation does not recommend that customers be named as parties to these cases. Customers should not be required to essentially relitigate cases that they have settled or otherwise resolved.

11. Even though customers opposed expungements only 13% of the time, when they opposed expungement, arbitrators denied the requests 36% of the time. In contrast, when customers did not object, arbitrators denied the expungement request only 9% of the time. Therefore, arbitrators are 400% more likely to deny an expungement request when customer object.

IV. The Way Expungement-Only Cases Are Administered Contributes To High Expungement Rates.

A. There Are No Procedural Safeguards In Place To Ensure Customers Are Provided With Timely, Meaningful, and Accurate Notice of Pending Expungement-Only Cases.

12. One explanation as to why investors rarely participate in Expungement-Only cases is that they may not be aware of the case. The Foundation's review of awards reveals that FINRA itself does not provide notice to customers of the pending expungement requests. FINRA tells arbitrators that they should order the broker to provide a copy of their statement of claim seeking expungement to the customer whose complaint is being sought to be expunged.

13. Yet, neither FINRA nor arbitrators appear to conduct any independent verification. While the data shows that arbitrators told brokers' counsel to provide some form of written notice to customers of the pending expungement requests, there is no consistency as to when notice to customers was provided or what was contained in that notice. The data shows that the timing of notice ranges from a couple of months prior to the evidentiary hearing to a day or two before. In some cases, notice was sent to the customer after the evidentiary hearing. The awards do not show that the arbitrators requested proof or service or reviewed the notice the broker provided to ensure that it was fair and accurate. Therefore, it is impossible to know whether customers received notice of the expungement requests, or whether that notice was reasonable. The authors of the Study were able to review a sampling of notices provided to customers by obtaining them directly from customers or their attorneys. Examples of notice provided to investors in Expungement-Only cases are provided in the accompanying Appendix.

B. Without an Opposing Party, There Are No Procedural Safeguards to Prevent Brokers and Brokerage Firms From Presenting One-Sided and/or False Information to Arbitrators.

14. Brokers and brokerage firms are the only parties to Expungement-Only cases and both have an incentive to expunge customer complaints from brokers' CRD records. The customers whose complaints are the subject of the expungement request are not parties to the Expungement-Only arbitration and if they participate, their role is akin to a fact witness.

15. Since brokerage firms do not oppose brokers' expungement requests 98% of the time and customers oppose expungement in only 13% of cases, it logically follows that there should be procedural safeguards in place to prevent brokers from presenting one-sided, false or misleading information to arbitrators, who are ethically required to remain neutral in the pending arbitration.

16. FINRA puts the burden of ensuring that only valid expungement requests are granted on arbitrators. But imposing such a burden on arbitrators in unopposed Expungement-Only cases is wholly inconsistent with their role as neutral factfinders and decisionmakers.

17. In fact, FINRA's arbitrator training materials prohibit its arbitrators from conducting their own independent investigations into the validity of the underlying customer complaints. FINRA Dispute Resolution Arbitrator's Guide states in pertinent part:

Questions by Arbitrators and Factual Investigations

Each case must be judged solely on the written and testimonial evidence presented at the hearing. Each arbitrator has a right to question witnesses. Even though it is proper for an arbitrator to ask questions, every effort should be made to avoid taking over a hearing or becoming an advocate. Parties and their attorneys should be permitted to try their own cases. Generally, arbitrators should refrain from questioning a witness until all parties have finished their examination.

Arbitrators should not make independent factual investigations of a case. When arbitrators are in doubt about an issue, legal or otherwise, they should request briefs from the parties. If cases are cited in a party's motion or brief, and the arbitrators wish to read the full court opinions, the arbitrators should ask the parties to supply copies. Arbitrators generally should review only those materials presented by the parties.

See FINRA Arbitrator's Guide at page 60 (emphasis added).

18. FINRA's expungement training materials encourage arbitrators to ask questions during the expungement hearing and request additional documents from the parties. This does not change the fact that arbitrators must remain neutral. The following case shows that important information may not be presented by the parties to arbitrators considering expungement requests.

Case Study

One broker filed seven (7) separate arbitration cases during the Review Period, which is the most of any other broker. In total, the broker requested to expunge sixteen (16) customer complaints. After filing the first three cases in 2014 and again in 2017, in one week the broker used the same attorneys to file four (4) separate Expungement-Only cases against two of his former brokerage firms and collectively requested that thirteen (13) customer complaints be expunged from his record. The respondent brokerage firms did not oppose any of the expungement requests. One firm didn't even answer the Statement of Claim. Each February 2018 case was assigned a different arbitrator.

Based on the broker's current BrokerCheck Report, at the time that these four Expungement-Only cases were pending, the broker had two other customer arbitrations pending, one unfiled customer dispute listed and four other customer complaints on his record.

Out of the thirteen (13) customer complaints at issue in the cases filed that week, only one customer participated and opposed expungement of their complaint. In total, over all the seven separate cases, the broker successfully expunged ten customer complaints. Importantly, the broker currently has thirteen (13) complaint on his BrokerCheck report **and has had additional complaints since the expungements were granted.**

It is unclear whether any of the arbitrators in these proceedings were aware that there were four expungement cases pending at the same time which objectively would have been material to their decision-making. It is clear, however, that there are not procedural safeguards in place to prevent brokers from providing one-sided, false or misleading information to arbitrators.

See FINRA Award Nos. 18-00657, 18-00622, 18-00674, 18-00646

V. Brokers Have Been Gaming the System to Obtain Expungements, Contributing to The High Expungement Rates.

A. Brokers Have Been Including a Bogus \$1.00 Damages Demand With Expungement Requests To Reduce The Number of Arbitrators and to Make the Expungement Process Cheaper.

19. A new trick has erupted in the last few years involving brokers demanding \$1.00 in damages along with the expungement request and then withdrawing the \$1.00 demand at the expungement hearing (“\$1.00 Expungement Cases”). This presumably has been done to reduce the number of arbitrators reviewing expungement requests from a panel of three arbitrators to a single arbitrator. It also makes it cheaper for brokers to get customer complaints expunged. By allowing its members to game the system and file \$1.00 Expungement cases, FINRA has lost over \$6 million in revenue.

B. Since January 2015, the Number of Cases Decided by a Single Arbitrator, Rather than a Panel of Three Arbitrators, Has Skyrocketed.

20. During the Review Period, the percentage of cases decided by three-arbitrator panels fell while the percentage of cases decided by a single arbitrator increased dramatically.

Year	Total Cases	Three Arbitrator Cases (%)	Single Arbitrator Cases (%)
2015	59	63	37
2016	135	37	63
2017	339	14	86
2018	545	8	92

21. The increase in Expungement-Only cases decided by a single arbitrator is primarily because of the rise in number of \$1.00 Expungement Cases. Under FINRA rules, claims that seek “Unspecified or Non-Monetary” relief must be heard by three (3) arbitrators. *See* FINRA Rule 13401(c). However, claims seeking

damages of \$50,000 or less may be heard by a single arbitrator. *See* FINRA Rule 13401(a). Expungement is very clearly “unspecified or non-monetary” relief, requiring the request be heard by a panel of three arbitrators. Yet, brokers include an obvious sham damages request of \$1.00, which has caused FINRA to classify their case as a single-arbitrator case. Brokers withdrew their request for \$1.00 in damages at hearing.

22. The result of brokers including a request for nominal damages, and then subsequently withdrawing it at the expungement hearing, was that a single arbitrator was appointed under FINRA rules to decide whether to grant the expungement request instead of a panel of three (3) arbitrators. In addition, as explained below, the \$1.00 request significantly reduces cost of the expungement requests to brokers and brokerage firms.

23. During the Review Period, the number cases in which nominal damages were requested in the broker’s statement of claim increased by over 7,000%.

Year	Expungement-Only Cases Requesting \$1.00 in Damages
2015	6
2016	69
2017	248
2018	457

In 2018, 84% of all Expungement-Only cases included a request for nominal damages. In total, brokers requested nominal damages 780 times and 756 of those requests (i.e., 97%) requested \$1.00.

C. Since 2015, FINRA Has Subsidized \$1.00 Expungement Cases and Allowed Itself to Lose Over \$6 Million in Revenue.

24. The \$1.00 Expungement Cases allow brokers and the respondent brokerage firms to reduce significantly the fees that both parties are required to pay to FINRA. For example, in \$1.00 Expungement Cases, assuming one (1) evidentiary expungement hearing, the broker and brokerage firm pay a total of only \$300.00 per case in filing fees (\$50.00), hearing session fees (\$50.00 each), member surcharges (\$150.00) and member processing fees (\$0.00).

25. Had brokers not included a request for nominal (\$1.00) damages with the expungement request, FINRA would have received a minimum of \$8,350.00 per case in filing fees (\$1,575.00), hearing session fees (\$1,125.00 each), member surcharges (\$1,900.00) and member processing fees (\$3,750.00). As a result, FINRA lost at least \$8,050.00 per case in revenue in \$1.00 Expungement Cases, which amounts to more than \$6 million in lost revenue to FINRA during the Relevant Period [\$8,050 times 756 cases]. Examples of arbitration awards showing the amounts of forum fees charged by FINRA in three arbitrators and single arbitrator cases are included in the accompanying Appendix.

26. In addition to the lost revenue described above, FINRA subsidized the \$1.00 Expungement Cases, because the amount that FINRA pays the arbitrator in those cases is more than the \$300 in revenue that it received from the broker and the brokerage firm per case.

D. FINRA Does Not Procedural Safeguards In Place To Prevent Brokers and Brokerage Firms From Undermining FINRA’s Arbitration Selection Process by Hand-Picking Arbitrators Most Likely to Grant Expungement.

27. The legitimacy of FINRA’s arbitrator selection process depends on adverse parties ranking and striking arbitrators. As in all single arbitrator arbitrations, FINRA provides the “opposing parties” (broker and brokerage firm) a list of ten (10) arbitrators to rank and strike in \$1.00 Expungement Cases. Each party gets up to four (4) strikes. The integrity of the arbitrator ranking process depends on parties having genuinely opposing interests: the brokerage firm would strike the arbitrators that it considers least likely to grant expungement, while the broker would strike arbitrators that they considered most likely to grant expungement.

28. As discussed above, brokerage firms named as respondents in Expungement-Only cases failed to object or otherwise oppose expungement requests over 98% of the time. Respondent brokerage firms that do not oppose the expungement request have no incentive to invest the time and expense required to participate in the arbitrator ranking process. Thus, it is likely that brokers get their number one pick of the arbitrators on the list. That is, if the parties go through the arbitrator selection process at all. Nothing prevents brokers and brokerage firms in Expungement-Only cases from coordinating with each other to select an arbitrator they believe most likely to expunge customer complaints.

29. FINRA does not have a procedural mechanism in place to prevent brokers and their firms in Expungement-Only cases from coordinating with each other to select an arbitrator who they believe is most likely to grant expungement. The data strongly suggests that parties in Expungement-Only cases are steering to a smaller number of arbitrators they consider most likely to grant the expungement request.

30. During the Review Period, the number of arbitrators who served on three (3) or more expungement awards in a given year increased by 6,100%.

Year	No. of Arbitrators Who Served on Three or More Expungement Cases in That Same Year
2015	1
2016	2
2017	27
2018	61

31. There were fifteen (15) arbitrators who served on five (5) or more Expungement-Only cases in 2018. One arbitrator served on eleven (11) cases that year, which was almost one per month. In total, these fifteen (15) arbitrators served on a total of 92 cases in 2018 and granted expungements in 85 of them, which is a 92% expungement granting rate. As stated above, the average number of cases where arbitrators overall granted expungement requests was 81%. This strongly suggests that these arbitrators are being selected more frequently because the parties believe that they are more likely to grant expungement.

32. The data shows brokers and brokerage firms, through their attorneys, are likely gaming FINRA’s arbitrator selection process to hand pick arbitrators. For example, in one Expungement-Only case, the award reflects that one law firm (hereinafter referred to as “Law Firm #1”) represented both parties, *i.e.* the broker and the brokerage firm. Presumably, that one attorney representing both parties picked the arbitrator on behalf of the broker and brokerage firm.

33. Law Firm #1 commonly represents major Wall Street brokerage firms in customer disputes. According to the data, Law Firm #1 also represented those same firms in approximately 230 Expungement-Only cases and represented brokers against these same firms in 73 Expungement-Only cases. Not surprisingly, in cases

where Firm #1 represented brokers, the brokerage firms did not oppose expungement in any case. In addition, in cases where Law Firm #1 represented the broker but not the brokerage firm, the vast majority of the time, the brokerage firm was represented by in-house counsel, which raises concerns that the brokerage firms deferred to Law Firm #1 to select the arbitrators in those Expungement-Only cases.

34. Also, Law Firm #1 and another law firm (“Law Firm #2”), represented at least one party to Expungement-Only cases in 785 out of 1,078 cases [73% of all cases]. This repeat player problem provides motive and opportunity for counsel representing parties in Expungement-Only cases to coordinate with each other to hand-pick arbitrators who are most likely to grant expungements.

VI. The Three Arbitrators Selected Most Often Recommended Expungement in Almost Every Case.

35. The PIABA Foundation analyzed all Expungement-Only awards for the three arbitrators who had the highest number of awards in the nation. The most prolific arbitrator granted expungement requests 97% of the time. The second most prolific arbitrator granted expungement 96% of the time. The third most prolific arbitrator granted expungement 95% of the time. In addition, the frequency in which these arbitrators were selected accelerated over time between 2015 and 2018. More detail on those arbitrators’ awards is set forth below:

Arbitrator #1: Expungement Requests Granted 97%

27 Cases - 37 out of 38 Customer Complaints

Filing Date	# Complaints Broker Asked Be Expunged	# Complaints Expunged in Award
2/17/2015	3	3
5/29/2015	1	1
11/30/2015	1	1
3/1/2016	1	1
6/21/2016	1	1
8/2/2016	1	1
1/19/2017	2	2
2/14/2017	3	3
4/10/2017	1	1
5/11/2017	1	1
7/13/2017	1	1

Filing Date	# Complaints Broker Asked Be Expunged	# Complaints Expunged in Award
8/1/2017	2	2
10/5/2017	1	1
10/13/2017	2	2
11/28/2017	1	1
12/04/2017	2	2
1/19/2018	1	1
2/2/2018	1	1
2/20/2018	1	1
2/20/2018	3	2
4/10/2018	1	1
5/2/2018	1	1
5/14/2018	1	1
5/17/2018	2	2
7/13/2018	1	1
11/14/2018	1	1
12/19/2018	1	1
Total	37	36

36. Law Firm #1 and/or Law Firm #2 represented brokers in 13 of these cases. In addition, Law Firm #1 represented brokerage firms in 7 of the cases.

37. One broker filed three separate arbitrations between 2015 and 2018 seeking to expunge one customer complaint in each case and that broker's counsel was able to select Arbitrator #1 each time. Arbitrator #1 granted expungement in each case. Another broker filed two separate arbitrations between 2016 and 2018, and also was able to select Arbitrator #1 each time. Arbitrator #1 granted expungement in each case even though it would have been clear that these individuals were repeat brokers, a fact that objectively would constitute regulatory value.

Arbitrator #2: Expungement Requests Granted 96%

15 Cases - 27 of out 28 Customer Complaints

Filing Date	# Complaints Broker Asked Be Expunged	# Complaints Expunged in Award
7/31/2015	2	2
10/30/2015	1	1
8/5/2016	1	1

Filing Date	# Complaints Broker Asked Be Expunged	# Complaints Expunged in Award
10/19/2016	1	1
11/7/2016	1	1
12/7/2016	5	5
2/3/2017	3	3
5/10/2017	1	1
8/4/2017	4	4
1/17/2018	1	1
1/31/2018	3	3
3/29/2018	1	1
3/29/2018	1	1
4/4/2018	2	2
6/1/2018	1	0
Total	28	27

38. Of the 15 cases, Law Firm #1 represented the broker-dealer 8 times, 53% of 9 cases, and Law Firm #2 represented the broker 8 times, 53% of the cases. Law Firm #1 and Law Firm #2 represented both parties in 6 cases, 40% of the cases.

Arbitrator #3: Expungement Requests Granted 95%

13 Cases - 18 out of 19 Customer Complaints

Filing Date	# Complaints Broker Asked Be Expunged	# Complaints Expunged in Award
6/11/2015	1	1
9/27/2016	1	1
5/31/2017	1	1
8/13/2017	1	1
12/13/2017	1	1
1/18/2018	2	2
2/7/2018	2	2
2/20/2018	1	1
2/26/2018	1	1
2/28/2018	3	2
3/5/2018	1	1
4/16/2018	2	2
7/2/2018	2	2
Total	16	15

39. Of the 11 cases, Law Firm #1 represented the brokerage firm in two cases and Law Firm #1 represented the broker. In total, Law Firm #2 represented the broker in 5 cases, 45%.

40. The above data concerning these three arbitrators, who are the most frequently selected in the entire nation, shows that brokers and brokerage firms, whose counsel are repeat players in this forum, are likely coordinating with each other to select arbitrators. The frequency in which these arbitrators were selected accelerated over time between 2015 and 2018 strongly suggests that parties to Expungement-Only cases are able to identify and select arbitrators who are most likely to grant expungement.

41. The data also shows that if FINRA creates a roster of specially trained arbitrators to handle expungement cases, as it has recently proposed to do, FINRA may very well institutionalize the problem of high expungement rates, because the most frequently selected and most experienced arbitrators, who would presumably be included on that roster, grant expungement at a higher rate than the average.

42. It would not be difficult to determine whether parties are coordinating to hand-pick arbitrators because FINRA requires parties to submit arbitrator ranking forms on its online portal in all cases. A review of all arbitrator ranking forms submitted by the parties in Expungement-Only cases would reveal whether parties are improperly coordinating to select arbitrators.

RECOMMENDATIONS

1. Immediately stay all Expungement-Only cases.

FINRA should immediately stay all pending Expungement-Only cases and impose a moratorium on filing such cases until it can ensure the integrity of the expungement process. Until FINRA takes steps to ensure that expungements are not granted based upon one-sided evidence that is false or misleading and that parties are not coordinating to hand-pick arbitrators, FINRA should not permit expungement other than when it is ordered by an arbitration panel as part of the relief in a customer arbitration.

In addition, FINRA should file a motion to stay in each pending court action seeking confirmation of an expungement recommendation. FINRA should prohibit individual brokers and their firms from pursuing confirmation of expungement awards obtained in Expungement-Only cases until FINRA has determined that those

awards were properly obtained, including determining that no false or misleading information was used to obtain the expungement recommendation.

Finally, it appears that much of the problems described herein are caused by FINRA attempting to fit expungement cases, which at its core is a regulatory process, into its arbitration forum, which is designed to resolve disputes between adverse parties. This “square peg in a round hole” problem may be best resolved by removing expungement matters from FINRA arbitrations altogether and instead creating a new regulatory process that does a better job of balancing the interests of protecting brokers’ reputations with the interest of preserving important information on the CRD. If expungements continue to be resolved in FINRA’s arbitration forum, an entirely new Code of Arbitration specific to expungements needs to be created because the existing Code of Arbitration is designed to resolve disputes between adverse parties.

2. Conduct an investigation into whether expungements have been awarded as a result of brokers and brokerage firms presenting false and misleading evidence and otherwise undermining the integrity of the process.

An independent investigation should be commissioned by FINRA to determine whether false and misleading statements and evidence has been used by individual brokers and brokerage firms in order to obtain expungements. This misconduct not only misleads investors and regulators, but it also undermines the integrity of courts that are asked to confirm the expungement award.

There is evidence available from which an investigator can determine whether parties made false and misleading statements. An investigator can review the petition for expungement and related filings as well as filings in the underlying customer arbitration. An investigator can contact the customer and customer’s attorney to learn about key facts and documents that support the customer’s claims. An investigator can listen to the audiotapes of the hearing on expungement to determine whether the parties made false or misleading statements. These statements could constitute perjury as well as violations of FINRA rules.

An independent investigation could also uncover whether, and if so to what extent, parties to Expungement-Only cases have been colluding or otherwise improperly coordinating to select preferred arbitrators. A review of the arbitrator ranking forms submitted by the parties would uncover whether two supposedly adverse parties are working together in the arbitrator selection process thereby

undermining the legitimacy of the expungement system. A review of the arbitrator ranking forms will also reveal whether brokers and brokerage firms are coordinating to ask FINRA to assign a particular arbitrator who does not appear on the list of potential arbitrators.

3. Users of BrokerCheck should be shown a prominent warning that it does not contain complete and accurate customer complaint information.

BrokerCheck should include a prominent warning to users that it does not include all customer complaint information about individual brokers. This is necessary to correct the impression – given by FINRA, the SEC and other regulators – that customer complaint information on BrokerCheck is complete and accurate.

According to the SEC website, Investor.gov,

BrokerCheck ... will tell you whether the broker has been: ... named in any consumer-initiated complaints, arbitration proceedings, or civil lawsuits.

<https://www.investor.gov/research-before-you-invest/methods-investing/working-investment-professional/using-brokercheck>.

While the BrokerCheck website warns users that it does not include certain types of civil and criminal matters that do not involve investments or “breach of trust,” there is no mention that it does not include all customer complaints. See <https://brokercheck.finra.org/>. BrokerCheck should display a prominent warning so investors are aware that BrokerCheck does not include all customer complaints.

4. Establish an investor protection advocate.

The current system of relying on arbitrators to protect the integrity of the CRD regulatory record is fundamentally flawed. Providing additional training to arbitrators will not solve that problem. Nor will creating a specialized roster of arbitrators to hear expungement requests.

The data shows that the requests for expungements are denied more often when arbitrators hear evidence that they should be denied. If expungement proceedings are going to continue to be under the control of FINRA, FINRA and/or

the SEC should create an investor protection advocate position or office to participate in every expungement case. The Advocate should be independent from FINRA and be allowed to participate in all expungement proceedings with the same rights as a party.

The Advocate would be responsible for investigating the customer complaint, obtaining and reviewing documents, interviewing the customer, customer's counsel, and any other relevant witnesses. The Advocate could assist the customer and fully participate in the expungement hearing by making an opening statement, cross examining the individual broker, presenting testimony and documents, and making a closing argument. Regardless of whether FINRA or the SEC establishes this Advocate position, the Foundation believes that FINRA should fund the Advocate and can do so using the more than \$6 million that will no longer be lost once FINRA bans \$1 Expungement Claims.

Exhibit A

Expungement Awards in Industry-Initiated Arbitrations Filed 1/1/15 and 12/31/2018

Sorted by Docket #
Prepared for: PIABA Foundation



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Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Resppts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 20002 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
15-00093	Cincinnati, OH	12/30/2014	10/23/2015	11/04/2015	UBS Financial Services Incorporated	Bressler Amery & Ross	Michael Joseph Kleinfelder	Strauss Troy LLP	NO	NO	G			x	1		UD		
15-00168	San Juan, PR	01/20/2015	08/12/2015	08/24/2015	Popular Securities Incorporated	Ulmer & Berne	Roberto Luis Rivera Vazquez	Kaufman Dolowich & Voluck	NO	NO	G	x	x	x	1	07/25/2015	PoS	18	
15-00170	Portland, OR	01/21/2015	07/09/2015	08/25/2015	Citigroup Global Markets Incorporated	ISC	Brian Raymond Nelson	Kaufmann Gildin & Robbins	NO	NO	G			x	1	06/30/2015	Not OAH	9	
15-00221	New York, NY	01/27/2015	08/25/2015	04/08/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Brett Hina	Bressler Amery & Ross	NO	NO	G	x	x		1		UD		
15-00251	Newark, NJ	01/30/2015	08/04/2015	10/20/2015	Nationwide Planning Associates Incorporated	ISC	Keith J. Steidle	Stark & Stark	NO	NO	G		x		1	08/19/2015	Not OAH	-15	
15-00386	New York, NY	02/17/2015	10/20/2015	12/30/2015	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Richard Scott Zinman	Wilk Auslander LLP	NO	NO	G	x		x	1		UD		
15-00392	Dallas, TX	02/13/2015	09/17/2015	10/05/2015	Wells Fargo Advisors LLC	ISC	Michael E. Magruder	Kaufmann Gildin & Robbins	NO	NO	G		x		1		UD		
15-00419	Boston, MA	02/11/2015	10/14/2015	12/02/2015	Wells Fargo Advisors LLC	ISC	Gary Louis Breda	Stevens & Lee	NO	NN	G			x	1		Dec		
15-00428	New York, NY	02/12/2015	12/18/2015	01/19/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Scott David Blai	Law Office of Patrick R. Mahoney	NO	NO	G		x		1	12/28/2015	Not OAH	-10	
15-00438	Miami, FL	02/13/2015	10/20/2015	01/19/2016	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Allan Dean Yarkin	Homer Bonner Jacobs PA	NO	NO	G			x	1		UD		
15-00537	Phoenix, AZ	03/05/2015	01/14/2016	01/29/2016	Customers only	Customer	Andrew Clark Blease	Lewis Roca et al.	NO	NO	G	x			1		Rs		
15-00843	Philadelphia, PA	04/06/2015	11/03/2015	12/16/2015	Wells Fargo Advisors LLC fka Wachovia Securities LLC	ISC	Susan Poller-Newman	Coss & Momjian	NO	NO	G	x		x	1	11/30/2015	Not OAH		
15-00894	Philadelphia, PA	04/20/2015	02/09/2016	02/18/2016	Wells Fargo Advisors LLC	Gonzalez Saggio Harlan LLP	Neil David Boyle	None	OB	UN	D				1				
15-00934	Chicago, IL	04/24/2015	03/03/2016	03/08/2016	UBS Financial Services Incorporated	ISC	Jay Maltby	Bressler Amery & Ross	NO	NO	G		x	x	1	02/15/2016	Not OAH	17	
15-01085	St. Louis, MO	05/12/2015	10/01/2015	10/12/2015	Customers only	Customer	Martin Oberman	Bressler Amery & Ross	NO	NO	G	x	x		1		Rs		

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												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
15-01235	Hartford, CT	05/29/2015	12/11/2015	03/03/2016	UBS Financial Services Incorporated	ISC	Thomas Durr Lips; Andrew Roy Worthington	Bressler Amery & Ross	NO	NO	G	x	x	x	1		UD		
15-01276	New York, NY	06/02/2015	12/21/2015	01/12/2016	Credit Suisse Securities (USA) LLC	ISC	Jerry Enoch Stroud	Bressler Amery & Ross	NO	NO	D				2		UD		
15-01283	Los Angeles, CA	06/02/2015	12/07/2015	01/19/2016	Morgan Stanley	ISC	Lisa Ann Detanna	Rich Intelisano & Katz	NO	NO	G	x	x	x	1	12/24/2015	Not OAH	-17	
15-01357	Detroit, MI	06/09/2015	10/26/2015	11/11/2015	American Portfolios Financial Services Incorporated	ISC	Dustin E. Leach	Mika Meyers et al.	NO	UN	G			x	1				
15-01376	Los Angeles, CA	06/11/2015	10/29/2015	12/02/2015	Customers only	Customer	Karl Austin Pettjohn	Rich Intelisano & Katz	NO	NO	G		x	x	1		UD		
15-01377	New York, NY	06/11/2015	05/11/2016	07/22/2016	FSC Securities Corporation	ISC	Richard P. Arzaga	Beugelmans LLP	NO	NO	G		x		3	12/18/2015	Not	145	
15-01403	Los Angeles, CA	06/16/2015	12/15/2015	06/14/2016	Wedbush Securities Incorporated	ISC	Lisa Ann Detanna	Rahn Muntz O'Grady LLP	NO	NO	G		x	x	2	12/09/2015	CR	6	
15-01458	Dallas, TX	06/19/2015	12/15/2015	12/23/2015	Customers only	Customer	John Mark Kever	Ballard & Littlefield	NO	NO	G			x	1		Rs		
15-01463	New York, NY	06/18/2015	03/08/2016	04/08/2016	Morgan Stanley; Morgan Stanley & Company Incorporated	ISC	Stephanie Kelly	Law Offices of David Harrison	NO	NO	G			x	1	11/30/2015	Not	99	
15-01493	Los Angeles, CA	06/25/2015	02/01/2016	02/22/2016	UBS Financial Services Incorporated	Keesal Young & Logan	Anita Marie D'Aguilar; David Bryan Schachter	Law Offices of Christine A. Page	NO	NO	G		x		1	10/21/2015	OtS	103	
15-01503	Boca Raton, FL	06/25/2015	02/08/2016	02/12/2016	PNC Investments LLC	Stark & Stark	Joseph Shimko	Stein & Stein	NO	NO	G		x		1	10/15/2015	PoS	116	
15-01548	Los Angeles, CA	06/30/2015	03/01/2016	03/31/2016	Oppenheimer & Company Incorporated; Raymond James Financial Services Incorporated	ISC	Gary Cremona	Law Offices of Christine A. Page	NO	NO	G/D		x		1	01/02/2016	PoS	59	
15-01601	Columbus, OH	07/02/2015	01/25/2016	02/01/2016	Raymond James Financial Services Incorporated	ISC	Raymond T. Klosz; Traci L. Born	Carlisle Patchen & Murphy	NO	NO	G	x	x	x	1	11/25/2015	Not	61	
15-01636	Detroit, MI	07/09/2015	04/20/2016	06/06/2016	Customers only	Customer	Michael Charles Vogel	Warner Norcross & Judd	OB	OB	G		x		2		Rs		
15-01778	New York, NY	07/13/2015	04/14/2016	05/06/2016	UBS Financial Services Incorporated	ISC	Peter Joseph Klein	Bressler Amery & Ross	NO	NO	G		x		2	02/16/2016	Not	58	
15-01780	Minneapolis, MN	07/13/2015	04/14/2016	05/24/2016	Customers only	Customer	Marc Kalter	Finkelstein & Feil	NO	NO	G			x	1		Rs		

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												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
15-01887	Miami, FL	07/22/2015	02/11/2016	02/18/2016	Merrill Lynch Pierce Fenner & Smith Incorporated	ISC	Ioana E. Cioc	Hunter Taubman Fischer LLC	NO	NO	G	x	x		1	Seth L. Finkel, Esq. - Chair; Steven N. Ainbinder, Esq.; Kathy N. Novick	11/11/2015	PoS	92
15-01969	*, *	07/31/2015	03/10/2016	04/06/2016	First Allied Securities Incorporated	Winget Spadafora & Schwartzberg	V. John Threlkeld	Barr & Young	NO	NO	G	x		x	1	Laurel Littman Gothelf, MPH	03/09/2016	OtS	1
15-02144	San Diego, CA	08/18/2015	04/06/2016	05/26/2016	Securities America Incorporated	Edgerton & Weaver	Marc C. Seward	Krause Kalfayan et al.	NO	NO	G	x			1	George L. Tindall - Chair; Randy R. Maher, JD; Robert A. Lakosil		UD	
15-02207	*, *	08/20/2015	02/12/2016	06/20/2016	Pacific West Securities Incorporated	No-show	Eric James Schindler	Edgerton & Weaver	NO	NO	G		x		1	Thomas L. Marshall	03/10/2016	Not OAH	-27
15-02264	Tampa, FL	09/01/2015	03/24/2016	04/07/2016	Customers only	Customer	Jared Michael Cohen	Murphy & Anderson	NO	NO	G		x		1	Alfred Brunette, Jr., CPA - Chair; Jack A. Helms; Patrick D. King		Rs	
15-02270	Chicago, IL	08/27/2015	08/03/2016	08/24/2016	McClendon Morrison & Partners LLC	Roberts McGivney Zagotta LLP	Douglas P. McConnel	Rieck & Crotty	OB	UN	G		x		3	Jonathan B. Gilbert, Esq. - Chair; Martin A. Duncan, Esq.; Frank Samuelsohn		UN	
15-02297	Boca Raton, FL	09/02/2015	03/07/2016	03/16/2016	Morgan Stanley & Company LLC	ISC	Dennis Cora	Robert Wayne Pearce P.A.	NO	NO	G	x	x		1	Steven Gerard Goerke, Esq.		UD	
15-02319	Hartford, CT	09/02/2015	05/25/2016	06/16/2016	Ameriprise Financial Services Incorporated	ISC	Camille Marie Gagliardi	The Cho Law Firm	NO	NO	G	x	x		1	Karimu F. Hill-Harvey, Esq.	04/08/2016	Not	47
15-02423	Los Angeles, CA	09/14/2015	04/25/2016	05/03/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Brad Kalas	Deutsch & Lipner	NO	NO	G			x	1	Robert Rosen - Chair; Howard A. Emirhanian; Jeffrey E. Skogsbergh, Esq.		UD	
15-02424	Seattle, WA	09/09/2015	03/29/2016	04/13/2016	Customers only	Customer	Christy Gatien	Hendrickson Law Firm	NO	NO	G			x	1	Michael Lancaster Garcia - Chair; Kenneth James Pedersen; Frederick B. Mueller		Rs	
15-02493	Orlando, FL	09/16/2015	03/29/2016	06/13/2016	Raymond James Financial Services Incorporated; et al.	ISC	Edward Aloysius McDonough	None	NO	NO	G	x	x		1	Robert J. Walter, Esq. (Deceased) - Chair; John Briggs; Lori Beth Kamen	03/15/2016	PoS	14
15-02732	Birmingham, AL	10/12/2015	03/30/2016	04/11/2016	Customers only	Customer	James Scott Hunter	Maynard Cooper & Gale	NO	NO	G		x		1	Daniel T. Hull, Jr.		Rs	
15-02794	New York, NY	10/20/2015	06/16/2016	06/23/2016	Merrill Lynch Pierce Fenner & Smith Incorporated	ISC	Bernard Fuchs	Bressler Amery & Ross	NO	NO	G	x	x		1	Joan M. Traub, Esq.	05/19/2016	Not	28
15-02876	Boca Raton, FL	10/27/2015	07/21/2016	08/09/2016	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Henry Boyce III	Homer Bonner Jacobs PA	NO	NO	G	x		x	1	Barth Satuloff, CPA - Chair; Thomas W. Allen; Edward Alexander Jaffe	04/11/2016	CR	101
15-02909	*, *	10/30/2015	03/25/2016	04/18/2016	Wells Fargo Advisors LLC	ISC	Christopher Edward Coghlan	Law Office of Patrick R. Mahoney	NO	NO	G	x		x	1	Laurel Littman Gothelf, MPH	03/15/2016	Not	10
15-02927	Tampa, FL	10/27/2015	06/13/2016	07/28/2016	Securities America Incorporated	Wiand Guerra King PL	Jack Ronald Wolff	Marshall Dennehey et al.	NO	NO	G		x		1	Gayle B. Carlson, Esq. - Chair; Sydney E. Blum; Patrick D. King	06/13/2016	OtS OAH	0
15-02937	Pittsburgh, PA	11/02/2015	06/14/2016	08/02/2016	NFP Advisor Services LLC fka NFP Securities Incorporated	ISC	Herman Kahn	Kaplan Zeena LLP	NO	NO	D				2	Michael P. Marrayshow, Esq. - Chair; Michael S. Berman; John P. Abriola	07/01/2016	PoS OPA	-17

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
15-02955	Philadelphia, PA	10/28/2015	05/11/2016	06/06/2016	Wells Fargo Advisors LLC	ISC	Thomas Helm	Stevens & Lee	NO	NO	G		x		1		UD		
15-03015	Dallas, TX	11/09/2015	12/15/2016	01/27/2017	Morgan Stanley & Company LLC	ISC	Edward Wayne Butowsky	Friedman & Feiger	NO	NO	G	x	x	x	1	10/04/2016	PoS	72	
15-03047	Boca Raton, FL	11/11/2015	05/02/2016	05/09/2016	Wells Fargo Advisors LLC	ISC	Michele Elaine Kief	Akerman LLP	NO	NO	G			x	1	04/05/2016	Not	27	
15-03049	Tampa, FL	11/12/2015	10/21/2016	11/08/2016	Raymond James Financial Services Incorporated	ISC	Eric L. Jansson	Wland Guerra King PL	NO	NO	G		x		1	07/27/2016	PoS	86	
15-03202	Hartford, CT	11/25/2015	08/23/2016	08/30/2016	Oppenheimer & Company Incorporated	ISC	Jason Raymond Savey	Satterlee Stephens et al.	NO	NO	G	x			1	03/30/2016	Not	146	
15-03205	New York, NY	11/24/2015	06/14/2016	08/02/2016	UBS Financial Services Incorporated; Morgan Stanley Smith Barney (fka Citigroup Global Markets dba Smith Barney)	Bressler Amery & Ross (UBSFS); ISC (MSSB)	Todd Lowell Kissel	Deutsche & Lipner	NO	NO	G		x		2	05/31/2016	Not	14	
15-03222	Newark, NJ	11/30/2015	06/28/2016	06/27/2016	Nationwide Planning Associates Incorporated	ISC	Keith J. Steidle	Stark & Stark	NO	OB	G		x		1	06/10/2016	Not	18	
15-03311	New York, NY	12/08/2015	05/31/2016	07/01/2016	David Lerner Associates Incorporated	Thompson Hine LLP	Steven L. Sormani	Thompson Hine LLP	NO	NO	G		x	x	1	05/04/2016	Not	27	
15-03318	Boca Raton, FL	12/11/2015	08/15/2017	08/29/2017	Wells Fargo Advisors LLC	ISC	Thomas Michael Moran	Stein & Stein	NO	NO	G		x		1		UD		
15-03363	Los Angeles, CA	12/16/2015	09/27/2016	10/07/2016	UBS Financial Services Incorporated	Keesal Young & Logan	Karl Austin Pettijohn	Rahn Muntz O'Grady LLP	NO	NO	G			x	1		UD		
15-03455	New York, NY	12/22/2015	06/14/2016	01/20/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Joseph Anthony La Ferla Jr.	Hamburger Law Firm	NO	NO	G			x	1	08/26/2016	Not	-73	
16-00018	Houston, TX	12/22/2015	01/20/2017	03/03/2017	Customers only	Customer	Shawn Thomas Kesterson	None	NO	NO	G		x		1		Rs		
16-00086	Los Angeles, CA	01/15/2016	06/08/2017	02/16/2018	Transamerica Financial Advisors Incorporated	Albert & Will	Rake Gallaway Murray	Eric Walraven, Attorney-at-Law	NO	NO	G/D			x	2	04/26/2017	PoS	43	
16-00164	Boston, MA	01/14/2016	08/29/2016	09/27/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Timothy Burr Davis	Dhar Law LLP	NO	NO	G	x			1		UD		
16-00543	San Diego, CA	02/24/2016	11/16/2016	12/12/2016	Wells Fargo Advisors Financial Network LLC	ISC	John Philip Toman Jr.	The Iavarone Law Firm	NO	UN	D				1		UN		

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												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
16-00551	New York, NY	02/24/2016	07/27/2016	08/09/2016	Credit Suisse Securities (USA) LLC	ISC	Eric P. Berger	Zukeman Gore et al.	NO	NO	G		x		1			UD	
16-00638	Newark, NJ	03/01/2016	08/02/2016	11/15/2016	Charles Schwab & Company Incorporated	ISC	Mark Brian Smalley	None	NO	OB	G	x	x		1	07/22/2016	Not	11	
16-00691	Detroit, MI	03/08/2016	01/31/2017	02/17/2017	Customers only	Customer	Daniel P. Murphy	Saretsky Hart et al.	NO	NO	G			x	1		Rs		
16-00740	Boca Raton, FL	03/11/2016	06/29/2017	08/10/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Leonard Jay Suskind	Broad & Cassel	NO	NO	G	x	x	x	2		UD		
16-00798	New York, NY	03/16/2016	09/28/2016	10/06/2016	Wells Fargo Advisors LLC	ISC	Christopher J. Calabrese	Paduano & Weintraub	NO	UN	D				1		UN		
16-00846	Salt Lake City, UT	03/23/2016	07/28/2016	08/12/2016	E*Trade Securities LLC	ISC	Christopher Ray Warwick	Keesal Young & Logan	NO	NO	G	x	x	x	1	01/23/2015	PoS	552	
16-00860	Albuquerque, NM	04/04/2016	09/23/2016	11/23/2016	UBS Financial Services Incorporated; et al.	Keesal Young & Logan; Customer	Joshua Ian Schneider	Goodell DeVries et al.	NO	NO	G	x			2		Rs		
16-00893	Detroit, MI	03/24/2016		10/26/2016	Customers only	Customer	Anthony S. Bacarella	Saretsky Hart et al.	NO	NO	G			x	0		Rs		
16-00950	Chicago, IL	03/25/2016	12/09/2016	01/12/2017	Customers only	Customer	Steven Todd Kaplan	None	NO	NO	G			x	1		Rs		
16-00968	New York, NY	04/05/2016	09/19/2016	09/28/2016	Morgan Stanley Smith Barney LLC	ISC	Michael Moskowitz	Law Office of Patrick R. Mahoney	NO	NO	G	x			1	09/07/2016	Not	12	
16-01142	Los Angeles, CA	04/18/2016	12/01/2016	12/22/2016	National Planning Corporation	ISC	Brad Warren Stark	Edgerton & Weaver	NO	NO	G		x		1	10/27/2016	Not	35	
16-01150	Boca Raton, FL	04/22/2016	08/25/2016	09/01/2016	Transamerica Financial Advisors Incorporated	ISC	Daniel H. Rosenberg	Jenks & Harvey	NO	NO	G		x	x	1	08/23/2016	OtS	2	
16-01211	Hartford, CT	04/29/2016	02/22/2017	05/02/2017	Ameriprise Financial Services Incorporated	ISC	Sid Ironson	None	NO	NO	G	x	x		1	04/07/2017	PoS OAH	-44	
16-01332	Miami, FL	05/10/2016	01/24/2017	02/14/2017	Securities America Incorporated	ISC	Marc A. Silverman	Birge & Minckley	NO	NO	G	x	x		1		UD		
16-01367	*, *	05/13/2016	12/27/2016	01/17/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Richard Jay Zinman	Law Office of Patrick R. Mahoney	NO	NO	G			x	1	10/13/2016	Not	75	
16-01375	New York, NY	05/09/2016	04/27/2017	05/08/2017	JP Morgan Securities LLC	ISC	Todd M. Brown	Herskovits PLLC	NO	NO	G	x			1	03/22/2017	Not	36	
16-01502	Detroit, MI	05/25/2016	03/02/2017	04/06/2017	Customers only	Customer	Kevin C. O'Neill.	Saretsky Hart et al.	NO	NO	G			x	1		Rs		
16-01568	Buffalo, NY	07/01/2016	05/01/2017	07/13/2017	Morgan Stanley & Company LLC; Morgan Stanley Smith Barney LLC	ISC	Louis Anthony Falvo	The Glennon Law Firm	NO	NO	G		x	x	2	05/04/2017	Not BLH	-3	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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16-01622	Newark, NJ	06/07/2016	12/15/2016	01/05/2017	Morgan Stanley & Company LLC	ISC	Edward Moldaver	Kaufmann Gildin & Robbins	NO	NO	G		x		1	Sam Antar, Esq. - Chair; Marvin L. Schuldiner; Raquel Kraus	09/28/2016	PoS	78
16-01625	New York, NY	06/07/2016	11/29/2016	12/12/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Scott David Blair	Law Office of Patrick R. Mahoney	NO	NN	G			x	1	Howard L. Sobel		Dec	
16-01662	Dallas, TX	06/09/2016	01/13/2017	01/27/2017	Wells Fargo Advisors LLC	ISC	Matthew Lowe	Kaufmann Gildin & Robbins	NO	NO	G	x	x		1	Jeff Howard Abrams - Chair; Edward S. Koppman; Linda B. Kelly		UD	
16-01693	Denver, CO	06/13/2016	11/16/2016	02/23/2017	AG Edwards & Sons Incorporated	ISC	Kean O. Boucher	AdvisorLaw LLC	NO	OB	G		x		2	Anita Rae Shapiro, Esq. - Chair; Samuel L. McClaren, Esq. (Dissents); Tausha C. Riley	10/11/2016	Not	36
16-01767	Newark, NJ	06/21/2016	04/03/2017	04/24/2017	Morgan Stanley Smith Barney LLC	ISC	John Bernard Burke	Paduano & Weintraub	NO	NO	G	x	x		1	Robert E. Anderson, Esq. - Chair; S. Charles Tabak, JD; Richard D. Chusid, Esq.		UD	
16-01775	Houston, TX	06/21/2016	01/17/2017	01/26/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Patrick J. Biggins	Wilson Law Ltd.	NO	NO	G		x		1	Bertrand C. Moser, Esq. - Chair; David Aaron DeSoto; Robert L. Rolnick	12/16/2016	Not	32
16-01866	Atlanta, GA	06/23/2016	01/11/2017	02/07/2017	Ameriprise Financial Services Incorporated	ISC	David H. Miller	Amato Law Firm	NO	OB	G	x	x		1	Chandler R. Bridges, Esq. - Chair; John F. Allgood, Esq.; Michael J. Stern, Esq.	12/13/2016	PoS	29
16-01969	Boca Raton, FL	07/05/2016	01/09/2018	01/17/2018	FMSBonds Incorporated; Wells Fargo Advisors LLC	Richard & Richard (FMSB); ISC (WFA)	Sean Mark Fetterman	Sallah Astarita & Cox	NO	NO	G/D	x	x	x	1	Richard J. Kaplan, Esq. - Chair; Linda M. Foster-Wells; Jay Eng	12/19/2017	Not	21
16-01979	Miami, FL	07/01/2016	01/12/2017	02/06/2017	UBS International Incorporated; et al.	Bressler Amery & Ross	Veronica Lopez-Lopez	Winget Spadafora Schwartzberg LLP	NO	NO	G	x	x		1	Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.) - Chair; Jeanne Charles Wood; Jonathan H. Parker, Esq.		Rs	
16-02075	Houston, TX	07/18/2016	05/05/2017	05/09/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Leven	Rahn Muntz O'Grady LLP	NO	NO	G			x	1	Daniel J. Pagnano, Esq.		UD	
16-02077	Houston, TX	07/18/2016	06/19/2017	09/05/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William David Leven	Rahn Muntz O'Grady LLP	NO	NO	G		x		1	Raymond C. Kerr, Esq.	06/07/2017	Not	12
16-02078	Houston, TX	07/18/2016	05/08/2017	07/21/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Leven	Rahn Muntz O'Grady LLP	NO	NO	G		x	x	1	Brian James Tagtmeier	04/28/2017	Not	10
16-02079	Houston, TX	07/18/2016	06/07/2017	06/13/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Leven	Rahn Muntz O'Grady LLP	NO	NO	G		x		1	Maryanne M. Esser, Esq.		UD	
16-02082	Miami, FL	07/18/2016	01/25/2017	02/01/2017	Morgan Stanley	ISC	Nelson Frederick Faro	Bressler Amery & Ross	NO	NO	G		x		1	Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.)		UD	
16-02093	Boca Raton, FL	07/12/2016	04/21/2017	05/26/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Kurt F. Sylvia	Gonzalez Shenkman & Buckstein	NO	NO	G	x	x		1	Karen Z. Fischer - Chair; Sandra J. Bakalus; Stephen Kahane, CPA	01/03/2017	Not	108
16-02206	Birmingham, AL	07/29/2016	01/05/2017	03/17/2017	LPL Financial LLC	ISC	Susan Clayton Moore	Bressler Amery & Ross	NO	NO	G	x	x	x	1	Neil Harvey Smith	12/20/2016	Not	16
16-02290	*, *	08/05/2016	01/05/2017	01/12/2017	LPL Financial LLC	ISC	Eric Scott Wishan	AdvisorLaw LLC	NO	NO	G	x	x		1	Laurel Littman Gothelf, MPH		UD	
16-02320	New York, NY	08/02/2016	11/17/2016	12/19/2016	UBS Financial Services Incorporated	ISC	Eric Scott Bodner	Bressler Amery & Ross	NO	NO	G		x	x	1	Robert E. Anderson, Esq.		UD	
16-02347	*, *	08/10/2016	01/06/2017	06/22/2017	Ameriprise Financial Services Incorporated	ISC	Jane An	AdvisorLaw LLC	NO	NO	G/D	x	x		2	George L. Tindall		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
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16-02397	New York, NY	08/16/2016	07/07/2017	07/20/2017	AXA Advisors LLC; MSI Financial Services Incorporated	Gordon & Rees (AXAA); ISC (MSIFS)	Michael Hanna	AdvisorLaw LLC	NO	OB	D				1	02/20/2017	Not	137	
16-02424	New York, NY	08/17/2016	01/19/2017	02/24/2017	Morgan Stanley Smith Barney LLC	ISC	Neil Ivan Canell	AdvisorLaw LLC	NO	OB	G		x		2	12/08/2016	PoS	42	
16-02429	Houston, TX	08/12/2016	05/08/2017	05/12/2017	NyLife Securities LLC; et al.	Figari & Davenport	Kristopher Chesley Whitney	None	NO	NO	D				1		Rs		
16-02431	Milwaukee, WI	08/17/2016	01/04/2017	01/30/2017	Ameriprise Financial Services Incorporated on behalf of Ameriprise Advisor Services Incorporated fka H&R Block Financial Services Incorporated; et al.	ISC	Thomas James Freitag	AdvisorLaw LLC	NO	NO	G	x	x	x	2		UD		
16-02457	*, *	08/19/2016	01/24/2017	02/07/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Jay Barry Canell	AdvisorLaw LLC	NO	NN	G		x		1		Dec		
16-02478	New York, NY	08/22/2016	03/02/2017	03/16/2017	Aegis Capital Corporation	Sichenzia Ross et al.	Ramnarain Joseph Jaigobind Jr.	Herskovits PLLC	NO	NO	G	x	x	x	1		UD		
16-02542	*, *	08/29/2016	01/18/2017	03/13/2017	Oppenheimer & Company Incorporated	ISC	Joseph Adrian Motley	None	OB	NO	G	x			1	01/10/2017	PoS	8	
16-02543	New Orleans, LA	08/29/2016	07/19/2017	09/11/2017	MML Investors Services LLC	Stevens & Lee	Paul Vincent Saltaformaggio	Barraso Usdin Law Firm	NO	NO	G	x			1	07/31/2017	Not OAH	-12	
16-02547	Charlotte, NC	08/29/2016	02/07/2017	03/07/2017	Raymond James Financial Services Incorporated	ISC	Dean Bennett Williamson	AdvisorLaw LLC	NO	NO	G	x	x	x	1	12/21/2016	PoS	48	
16-02548	San Juan, PR	08/29/2016	03/14/2017	05/22/2017	UBS Trust Company of Puerto Rico; UBS Financial Services Inc. of Puerto Rico; UBS Financial Services Incorporated	Wilmer Hale LLP; McConnell Valdes LLC	Jose Castillo; Annica Ramirez	Toro Colon et al.	NO	NO	G			x	1	03/08/2017	PoS	6	
16-02582	Newark, NJ	08/31/2016	01/30/2017	02/15/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Lance Alden Lipset	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
16-02666	Dallas, TX	09/08/2016	01/11/2017	05/03/2017	Wells Fargo Advisors LLC; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (WFA)	Joseph Piellucci	AdvisorLaw LLC	NO	NO	G		x		2	12/09/2016	PoS	33	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007/2100 Findings			Hrg. Sess.	Notice			
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16-02691	Phoenix, AZ	09/12/2016	01/23/2018	02/06/2018	Charles Schwab & Company Incorporated	Ogletree Deakins et al.	Corbett Michael LaDuke	Tiffany & Bosco	NO	UN	G/D	x	x		Donald Dreyfus - Chair; John H. Fearnow; Alan Peter Scherer	6		UN	
16-02701	Dallas, TX	09/06/2016	01/12/2017	02/01/2017	Wells Fargo Advisors LLC	ISC	Michael Edwin Magruder	Kaufmann Gildin & Robbins	NO	NO	G		x		Eric Ross Cromartie - Chair; Dineo Coleman Gary; Douglas Ken Rudley	1		UD	
16-02728	Columbus, OH	09/15/2016	03/27/2017	04/20/2017	Wellstone Securities LLC; WRP Investments Incorporated	No-show	Matthew Jehn	Carlile Patchen & Murphy	NO	OB	G	x	x		Julius Z. Frager - Chair; Christy K. Radigan; W. Charles Curley	2	01/30/2017	CR	56
16-02769	*, *	09/19/2016	02/09/2017	02/27/2017	National Planning Corporation	ISC	Sean Luigi Covi.	AdvisorLaw LLC	NO	NN	G	x	x		Samuel L. McClaren, Esq.	1			
16-02778	*, *	09/20/2016	02/09/2017	02/27/2017	Morgan Stanley Smith Barney LLC	ISC	Gregg Jason Cuvin	AdvisorLaw LLC	NO	OB	G	x	x		Anna Lascar	1		UD	
16-02781	Miami, FL	09/16/2016	07/06/2017	07/20/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Patrick James Dwyer	Sonn & Erez	NO	NO	G	x	x	x	Steven N. Ainbinder, Esq. - Chair; Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.); Keith Robert Santillo	2		UD	
16-02843	Chicago, IL	09/26/2016	03/14/2017	03/20/2017	UBS Financial Services Incorporated	ISC	Bernard J. DelGiorno; Nicholas C. Lomaglio.	Bressler Amery & Ross	NO	NO	G	x			Ray J. Grzebielski, Esq.	1		UD	
16-02858	Los Angeles, CA	09/27/2016	01/25/2017	02/21/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Karl Austin Pettijohn	Rahn Muntz O'Grady LLP	NO	NO	G		x		Robert D. Sussin, Esq.	1	01/16/2017	Not	9
16-02889	Boston, MA	09/29/2016	09/06/2017	09/28/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Christopher D. Stoddard	AdvisorLaw LLC	NO	NO	G		x		John Francis Markuns	1	07/28/2017	Not	40
16-02894	Chicago, IL	09/29/2016	03/17/2017	04/05/2017	Spectrum Investment Services Incorporated; CFD Investments Incorporated	ISC (CFDI); No show (SIS)	Edward F. Camp	AdvisorLaw LLC	NO	NO	G/D	x			Raymond P. Buschmann, Esq.	1	01/31/2017	PoS	45
16-02910	*, *	10/02/2016	04/11/2017	05/24/2017	Securities America Incorporated	Freeman Mathis & Gary	Christina Lindsey Orta; John Cunningham Lindsey	AdvisorLaw LLC	NO	OB	G	x	x		Kirtley M. Thiesmeyer, Esq.	1		UD	
16-02928	*, *	10/04/2016	04/24/2017	05/18/2017	Securities America Incorporated; Edward Jones	Freeman Mathis & Gary (SA); ISC (EJ)	John Cunningham Lindsey	AdvisorLaw LLC	NO	NO	G	x	x		Constance Ellen Boukidis	1	02/02/2017	PoS	81
16-02936	New York, NY	10/05/2016		03/24/2017	National Securities Corporation	Finkelstein & Feil	Christopher Raphael Vasquez	None	OB E	UN	D				Sam Antar, Esq. - Chair; Regina Irena Arnold Mullen; John Nino Brenkovich	0		UN	
16-02943	*, *	10/05/2016	03/23/2017	04/05/2017	Piper Jaffray & Company	ISC	Bruce Grosvenor Allen	AdvisorLaw LLC	NO	NN	G			x	Richard Djokic, Esq.	1		CNF	
16-02944	Dallas, TX	10/05/2016	03/27/2017	04/07/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Glen D. Smith	AdvisorLaw LLC	NO	NN	G	x	x		David A. Schuler	1		Dec	
16-02985	Houston, TX	10/12/2016	05/31/2017	08/07/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kevin Brooks Kugley	Gustafson Nicolai PC	NO	UN	G	x	x		Jeffrey R. Jury - Chair; Brian James Tagtmeier; Timothy L. Andrews	1		UN	

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16-03006	*, *	10/13/2016	08/29/2017	10/06/2017	AXA Advisors LLC; Investors Capital Corporation	ISC	Travis Jerome Hughes	AdvisorLaw LLC	NO	OB	G/D	x	x		3	07/18/2017	Not	42	
16-03013	Boca Raton, FL	10/12/2016	05/23/2017	06/02/2017	Summit Alliance Securities LLC nka Argentus Securities LLC	No-show	Keith Eric Singer	Schoepl Law PA	NO	NO	G		x		1	03/30/2017	PoS	54	
16-03042	New York, NY	10/18/2016	03/16/2017	03/27/2017	JP Morgan Securities LLC; RBC Capital Markets LLC	Small Calvo PC (JPMS); ISC (RBCCM)	Eric Anthony Stubbs	AdvisorLaw LLC	NO	NO	G	x	x	x	1	03/02/2017	Not	14	
16-03055	*, *	10/19/2016	05/30/2017	06/12/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Nancy Lynne Bello	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
16-03056	*, *	10/19/2016	05/11/2017	06/01/2017	H. Beck Incorporated; UBS Financial Services Incorporated	Keesal Young & Logan (UBSFS); ISC (HB)	Travis John Hudak	AdvisorLaw LLC	NO	NO	G	x	x	x	1		UD		
16-03058	*, *	10/19/2016	05/02/2017	05/11/2017	TD Ameritrade Incorporated	Kutak Rock LLP	Joseph Brian Mondell	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
16-03061	*, *	10/19/2016	04/10/2017	04/17/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Rolf Maile	AdvisorLaw LLC	NO	NO	G	x	x		1	03/02/2017	PoS	39	
16-03081	Pittsburgh, PA	10/20/2016	05/24/2017	06/05/2017	Customers only	Customer	Robert A. Lieb	None	OB	OB	G/D	x			2		Rs		
16-03096	*, *	10/24/2016	08/25/2017	08/22/2017	New England Securities Incorporated; NEXT Financial Group Incorporated	ISC	Stephen Anthony Dellelo	AdvisorLaw LLC	NO	OB	G	x	x		2		UD		
16-03102	Tampa, FL	10/21/2016	03/22/2017	03/30/2017	HD Vest Investment Services Incorporated	ISC	Michael Vincent Addessi.	AdvisorLaw LLC	NO	NN	G		x		1		Dec		
16-03104	Tampa, FL	10/24/2016	05/02/2017	05/11/2017	Raymond James Financial Services Incorporated	ISC	Stephen Overton	AdvisorLaw LLC	NO	NO	G	x	x		1	03/03/2017	PoS	60	
16-03108	Denver, CO	10/21/2016	01/23/2018	04/18/2018	AXA Advisors LLC	ISC	Derek Nathan Eichenwald	AdvisorLaw LLC	NO	NO	G	x	x	x	1	10/10/2017	Not	105	
16-03111	*, *	10/24/2016	05/03/2017	06/12/2017	Morgan Stanley & Company LLC; UBS Financial Services Incorporated	Keesal Young & Logan (UBSFS); ISC (MS)	Richard Vincent Bertain Jr.	AdvisorLaw LLC	NO	OB	G/D	x			2		UD		
16-03124	Chicago, IL	10/25/2016	03/31/2017	04/10/2017	Customers only	Customer	Leslie Benjamin Goldstein	Saretsky Hart et al.	NO	NO	G		x		1		Rs		
16-03126	Detroit, MI	10/25/2016	08/31/2017	09/08/2017	Vestax Securities Corporation	ISC	David Martin Boike	AdvisorLaw LLC	NO	UN	D				1		UN		
16-03130	New York, NY	10/26/2016	07/07/2017	07/21/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John F. Erdmann III	Huberman & Associates	NO	NO	G		x	x	1	04/25/2017	Not	73	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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16-03133	*, *	10/26/2016	05/12/2017	05/25/2017	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Paul Joseph McIntyre	AdvisorLaw LLC	NO	NO	G			x	Samuel L. McClaren, Esq.	1	03/29/2017	PoS	44
16-03135	Boston, MA	10/26/2016	05/08/2017	06/01/2017	Banc of America Investment Services Incorporated; Quick & Reilly Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated; Citigroup Global Markets Incorporated	Bressler Amery & Ross	Thomas Frances Alessi	AdvisorLaw LLC	NO	NO	D				James R. Collins, Esq.	1	03/16/2017	Not	53
16-03138	Charlotte, NC	10/26/2016	08/18/2017	08/29/2017	Morgan Stanley; Morgan Stanley & Company LLC	ISC	Derek Lee Copeland	AdvisorLaw LLC	NO	NO	G	x	x		Lisa Bass Morris, RN, Esq.	1		UD	
16-03141	San Francisco, CA	10/26/2016	04/24/2017	11/20/2017	Wells Fargo Advisors LLC	ISC	Michael Anthony Destro	Polsinelli LLP	NO	OB	G	x			Dean J. Dietrich, Esq. - Chair; Jennifer Schwartz; Timothy P. Bogan, CPA	1	08/10/2017	PoS OAH	
16-03159	Minneapolis, MN	10/27/2016	06/12/2017	08/25/2017	Walnut Street Securities Incorporated; NEXT Financial Group Incorporated; The O.N. Equity Sales Company	ISC	Jeffrey David Thoele	AdvisorLaw LLC	NO	NO	D				Brett W. Olander, Esq.	1		UD	
16-03192	*, *	11/01/2016	06/20/2017	07/10/2017	HBW Securities LLC	ISC	Charles Paul Reinhold	AdvisorLaw LLC	NO	OB	G	x	x		Richard J. Stall, Jr., Esq.	1	04/04/2017	PoS	77
16-03194	*, *	11/01/2016	06/06/2017	06/26/2017	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (CGM); Keesal Young & Logan (UBSFS)	Dale Thomas Miller	AdvisorLaw LLC	NO	OB	G		x		Philip Aaron Tymon, JD	1	03/09/2017	PoS	89
16-03211	*, *	11/02/2016	05/18/2017	06/01/2017	RBC Capital Markets LLC	Keesal Young & Logan	Jeffrey Aaron Horn	AdvisorLaw LLC	NO	NO	G		x		Morris S. Getzels, Esq.	1	04/21/2017	PoS	27
16-03212	*, *	11/02/2016	04/12/2017	04/19/2017	LPL Financial LLC	ISC	Martin James Flores Jr.	Law Office of Patrick R. Mahoney	NO	NO	G	x	x	x	Robert F. Saint-Aubin, Esq.	1		UD	
16-03213	St. Louis, MO	11/02/2016	05/22/2017	05/31/2017	Customers only	Customer	Thomas J. Hake	Law Offices of J.M. Swartz	NO	NO	G	x	x	x	Julius Z. Frager - Chair; Sheldon Weinhaus; Joseph K. Marshall	1		Rs	
16-03214	Detroit, MI	11/02/2016	05/08/2017	05/17/2017	Customers only	Customer	Daryl Debol	Reminger Co. LPA	NO	NO	G	x	x		Patrick R. Sughroue, Esq. - Chair; Jeffrey Mark Bauer, Esq.; Ann Wilhelmina Kuppe	1		Rs	
16-03217	Miami, FL	11/02/2016	08/08/2017	08/21/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Peter Zubizarreta	AdvisorLaw LLC	NO	NO	G			x	Steven R. Reiningger, Esq.	1	04/04/2017	PoS	126
16-03219	New York, NY	11/03/2016	05/22/2017	05/30/2017	Legend Securities Incorporated	No-show	Valery Scancellia	None	NO	NN	D				Julian F. Santos, Esq. - Chair; Robert Elliot Harrison; Joel Levinson, Esq.	1		CNF	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000/2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
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16-03224	Boca Raton, FL	11/03/2016	09/18/2017	10/09/2017	WMA Securities Incorporated; World Group Securities Incorporated; LPL Financial LLC	ISC (WGS, LPLF); No-show (WMAS)	Vivienne Karin Schleu	AdvisorLaw LLC	NO	NO	G	x	x		Will Murphy, Esq	2		UD	
16-03244	New York, NY	11/07/2016	07/24/2017	09/07/2017	AG Edwards & Sons Incorporated; Next Financial Group Incorporated; Citigroup Global Markets Incorporated	Bressler Amery & Ross (AGE&S); ISC (NFG)	Craig James Ferrantino	AdvisorLaw LLC	NO	OB	G/D	x	x		William G. Binckes, Esq.	3	03/22/2017	Not	124
16-03245	Newark, NJ	11/07/2016	05/18/2017	05/30/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Christian Barrett	AdvisorLaw LLC	NO	NO	G		x		Patrick Richard Westerkamp, Esq.	1	03/08/2017	Not	71
16-03250	*, *	11/07/2016	05/26/2017	06/12/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Howard Keller	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	03/23/2017	PoS	64
16-03259	New York, NY	11/08/2016	06/29/2017	08/29/2017	AXA Advisors LLC; The Equitable Life Assurance Society of The United States	ISC	Paul Jacques Stawinski	AdvisorLaw LLC	NO	NO	G/D	x			Ellyn S. Roth	1	04/03/2017	Not	87
16-03262	Miami, FL	11/08/2016	05/17/2017	07/07/2017	Chase Investment Services Corporation; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (CIS)	Randall Jeffrey Bodner	AdvisorLaw LLC	NO	NO	G/D	x	x		Christopher J. Klein, Esq.	1	05/05/2017	Not	12
16-03277	Wichita, KS	11/08/2016	07/18/2017	07/28/2017	UBS Financial Services Incorporated; Prudential Equity Group LLC	Bressler Amery & Ross (UBSFS); Law Offices of Alan S. Brodherson (PEG)	Thomas Henry Kirk III	AdvisorLaw LLC	NO	OB	D				Mark S. Foster, Esq.	1	03/08/2017	PoS	132
16-03312	Dallas, TX	11/08/2016	03/15/2017	06/23/2017	Colonial Brokerage Incorporated	ISC	Lori Ann Welborn	Schneider Miller Reynolds PC	NO	NO	G	x			Joseph Neal Richardson	1		UD	
16-03322	Boca Raton, FL	11/14/2016	06/22/2017	06/30/2017	Customers only	Customer	Marc Morell; David Scott Powers; Andrew Marshall Zentmayer	Greenberg Traurig PA	NO	NO	G	x	x	x	Mark C. Perry, Esq. - Chair; Gilbert A. Schnirman, MD; Jeanne Charles Wood	1		Rs	
16-03341	Detroit, MI	11/15/2016	06/02/2017	06/30/2017	National Planning Corporation; Voya Financial Advisors Incorporated	ISC	Steven Joseph Case	AdvisorLaw LLC	NO	NO	G/D	x	x		Lee Hornberger, JD	1	04/06/2017	SD	57

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
16-03348	New York, NY	11/14/2016	06/20/2017	07/03/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Eric Francis Hernandez	Law Office of Brian Kennedy	NO	NO	G		x		Sandra J. Mullings, Esq. - Chair; Joan M. Traub, Esq.; Joanne Basso Mack	1	05/25/2017	Not	26
16-03362	Boca Raton, FL	11/16/2016	04/17/2017	04/26/2017	Customers only	Customer	Mark Eric Zuckerman	Stein & Stein	NO	NO	G			x	Paul J. Burkhardt - Chair; Mark C. Perry, Esq.; Robert S. Natiss	1		Rs	
16-03366	Newark, NJ	11/17/2016	08/01/2017	09/12/2017	Cetera Advisors LLC	ISC	Phillip Gershon	Winget Spadafora & Schwartzberg	NO	NO	G	x			Louis H. Miron, Esq.	1	05/25/2017	Not	68
16-03371	New York, NY	11/18/2016	11/09/2017	12/22/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Phillip Gershon	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		David John Reilly	1	10/03/2017	Not	37
16-03403	*, *	11/21/2016	11/07/2017	02/01/2018	Woodbury Financial Services Incorporated	ISC	Jeffrey Samuel Gurman	The Law Office of K. Galbraith LLC	NO	OB	G		x		Kendall C. Reed, Esq.	2	10/17/2017	CR	21
16-03406	*, *	11/21/2016	06/06/2017	06/21/2017	Piper Jaffray & Company	ISC	Bryan James Engbretson	AdvisorLaw LLC	NO	OB	G	x	x		Michael Lancaster Garcia	1	06/02/2017	CR	4
16-03420	New York, NY	11/22/2016	05/19/2017	05/25/2017	Wells Fargo Advisors LLC	ISC	Kenneth W. Carter	Law Offices of Jonathan E. Neuman	NO	NO	G	x	x		Morton S. Bunis, Esq.	1	03/22/2017	PoS	58
16-03434	Atlanta, GA	11/23/2016	05/09/2017	05/24/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Garry Wayne Bridgeman	AdvisorLaw LLC	NO	NO	G	x	x		Harry G. Mason, JD	1	03/21/2017	PoS	49
16-03444	Dallas, TX	11/23/2016	06/01/2017	06/13/2017	Customers only	Customer	Robert Jamison Packer	Riker Danzig et al.	NO	NO	G		x	x	Eric Ross Cromartie	1		Rs	
16-03445	Houston, TX	11/23/2016	07/31/2017	08/15/2017	Customers only	Customer	Alfred Gary Kovacs	Riker Danzig et al.	NO	NO	G		x		Raymond C. Kerr, Esq.	1		Rs	
16-03452	New York, NY	11/22/2016	06/23/2017	07/13/2017	Wells Fargo Advisors LLC	Stevens & Lee	Kenneth W. Carter	Law Offices of Jonathan E. Neuman	NO	NO	G	x	x		Arthur Neil Tolciss, Esq.	1	06/06/2017	PoS	17
16-03459	Atlanta, GA	11/28/2016	07/17/2017	07/20/2017	Morgan Stanley; Ameriprise Financial Services Incorporated	ISC	Carl Blair Pritchett III	AdvisorLaw LLC	NO	NO	G		x		Harvey R. Linder, Esq.	1	07/06/2017	PoS	11
16-03478	Detroit, MI	11/29/2016	07/27/2017	08/10/2017	Securities America Incorporated	Saretsky Hart et al.	Andrew L. Schade	Hubbard Snitchler & Parzianello	NO	UN	D				Kenneth J. Safran, Esq. - Chair; Erane C. Washington-Kendrick; D. Michael Kratchman, Esq.	1		UN	
16-03496	New Yoirk, NY	12/01/2016	07/20/2017	08/21/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Charles Dara Day	Bressler Amery & Ross	NO	NO	G		x		Lynne M. Reid-McQueen, Esq.	1	04/24/2017	Not	87
16-03508	*, *	12/01/2016	07/21/2017	08/30/2017	Securities America Incorporated; Parkland Securities LLC; Cetera Advisors LLC	Winget Spadafora & Schwartzberg (SA); ISC (PS, CA)	Daniel George McPherson	AdvisorLaw LLC	NO	OB	G/D			x	Bernard F. Vail	1	05/30/2017	PoS	52
16-03521	Orlando, FL	12/05/2016	01/22/2018	02/01/2018	Wunderlich Securities Incorporated; Wells Fargo Advisors LLC	ISC	Ryan Christopher Wyatt	Sallah Astarita & Cox	NO	NO	G	x	x		Marc T. Danon, Esq. - Chair; John Briggs; Ken Ziesenheim, Esq.	1		UD	
16-03542	Boca Raton, FL	12/06/2016	06/07/2017	06/27/2017	Kovack Securities Incorporated	ISC	Michael David Newton	Jenks & Harvey	NO	OB	G	x	x	x	Steven N. Ainbinder, Esq. - Chair; Will Murphy, Esq.; Tina Scott Polsky	1		UD	

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												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
16-03560	Boca Raton, FL	12/07/2016	05/15/2017	05/17/2017	Morgan Stanley & Company LLC	ISC	Wayne Allen Meland III	AdvisorLaw LLC	NO	NO	G			x	Edward R. Niederriter, Esq.	1	03/15/2017	PoS	61
16-03567	*, *	12/07/2016	06/08/2017	07/11/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Phillip Wayne Scott	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	05/31/2017	PoS	8
16-03579	*, *	12/08/2016	09/11/2017	11/14/2017	Robert W. Baird & Company Incorporated; Wells Fargo Advisors LLC	ISC	Kenneth James Meyers	AdvisorLaw LLC	NO	OB	G/D	x	x	x	Kevin C. Coleman, JD	2	05/03/2017	PoS	131
16-03589	Columbia, SC	12/02/2016	06/12/2017	10/04/2017	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	William Bordon Danzell	None	NO	NO, NN	G	x		x	James C. Hoover, Esq.	1		CNF	
16-03593	*, *	12/09/2016	06/21/2017	08/16/2017	Edward Jones	Keesal Young & Logan	Douglas Bielefeldt	AdvisorLaw LLC	NO	NO	G		x	x	Jeffrey M. Allen, Esq.	1	04/27/2017	PoS	55
16-03595	Chicago, IL	12/09/2016	02/23/2017	03/06/2017	UBS Financial Services Incorporated	ISC	Sean P. Moran	Bressler Amery & Ross	NO	NO	G	x	x		Susan L. Walker, Esq.	1	02/16/2017	CR	7
16-03662	Columbus, OH	12/15/2016	05/23/2017	07/31/2017	Raymond James Financial Services Incorporated	ISC	Traci L. Born	Carlile Patchen & Murphy	NO	NO	G	x	x		Lynn Hirschfeld Brahin, Esq. - Chair; Nelson E. Genshaft, Esq.; Erick R. Zanner	1	06/14/2017	OtS OAH	-22
16-03676	Detroit, MI	12/19/2016	09/08/2017	10/13/2017	Wells Fargo Advisors LLC	ISC	James Benjamin White	Hertz Schram PC	NO	NO	G			x	Michael James Malone - Chair; Tracy L. Allen, Esq.; Jack L. Somers	1	12/20/2016	Not	262
16-03720	*, *	12/22/2016	07/12/2017	07/25/2017	Ameriprise Financial Services Incorporated	ISC	Nihaal Mohan Rao	AdvisorLaw LLC	NO	NO	G	x	x	x	Howard R. Gaines, Esq.	1	06/05/2017	PoS	37
16-03723	Boca Raton, FL	12/22/2016	08/08/2017	08/16/2017	Kovack Securities Incorporated	ISC	Ricardo Latta	Jenks & Harvey	NO	UN	G/D			x	David Rich - Chair; Gary M. Landau, Esq.; Howard N. Kahn, Esq.	1		UN	
17-00020	*, *	12/30/2016	01/15/2018	02/09/2018	Larson Financial Securities LLC	ISC	Forrest Michael Friedow	AdvisorLaw LLC	NO	NO	G			x	Anita Rae Shapiro, Esq.	1	09/05/2017	Not	132
17-00040	Boston, MA	12/30/2016	06/23/2017	10/16/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Alexander Soukup	Ruberto Israel & Weiner	NO	OB	G	x	x		Robert J. Ambrogio, Esq.	2		UD	
17-00090	Detroit, MI	01/09/2017	09/12/2017	10/23/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Maclone Gray	Hubbard Snitchler & Parzianello	NO	OB	G/D	x			Robert J. Scafuri, Esq.	2	07/07/2017	OtS	67
17-00096	Tampa, FL	01/10/2017	09/26/2017	10/21/2017	Prime Capital Services Incorporated; National Securities Corporation; Royal Alliance Associates Incorporated	Wilson Elser et al. (NS); ISC (RAA); No-show (PCS)	Steven Joseph Gilbert	AdvisorLaw LLC	NO	NO	G/D		x	x	Muriel Desloovere, Esq.	1	03/15/2017	Not	195
17-00098	San Juan, PR	01/10/2017	07/19/2017	07/28/2017	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	Wilmer Cutler et al.; McConnell Valdes LLC	Anita Brennan; Marina Tudela	Toro Colon et al.	NO	NO	G	x	x	x	Gerald Silverman, Esq.	1	06/08/2017	PoS	41

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.1(b) Findings			Arbitrator Names	Hrg. Sessions	Notice		
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17-00114	*, *	01/11/2017	08/02/2017	08/30/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Peter R. de Castro	None	NO	NO	G	x	x		William Michael Samsel	1	06/09/2017	PoS	54
17-00128	Newark, NJ	01/10/2017	10/12/2017	11/07/2017	Comprehensive Asset Management and Servicing Incorporated	ISC	Thomas Joseph O'Connell, Jr.	Mahr & Mahr	NO	NO	D				Edward W. Morris, Jr., Esq. - Chair; Joan M. Traub, Esq.; Joseph Antim Galati	1	05/31/2017	Not	134
17-00146	New York, NY	01/17/2017	06/16/2017	06/30/2017	Wells Fargo Advisors LLC	ISC	David Rosenberg	Martin LLP	NO	NO	G	x	x		Joan M. Traub, Esq.	1		UD	
17-00159	Boston, MA	01/11/2017	11/01/2017	11/07/2017	Customers only	Customer	Michael James Labrie	Wichins Cosentino & Novins	OB	OB	G		x		Frank Sanclemente - Chair; Ronald L. Cheney, Esq.; Merriann Panarella	1		Rs	
17-00172	Wilmington, DE	01/19/2017	08/14/2017	09/05/2017	Cetera Investment Services LLC	ISC	Thomas J. Lindia III	AdvisorLaw LLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1		UD	
17-00177	Marquette, MI	01/20/2017	09/26/2017	09/29/2017	Wells Fargo Advisors LLC	Greenberg Traurig LLP	Samuel Johnathan Bennett	AdvisorLaw LLC	NO	OB	D				Terry F. Peppard, Esq.	2	08/04/2017	CR	53
17-00207	Washington, DC	01/24/2017	08/24/2017	09/28/2017	NyLife Securities LLC	Morgan Lewis & Bockius	Bradley Robert Burton	AdvisorLaw LLC	NO	NO	G	x	x		Olivia Milbank Farrar, JD	1	06/14/2017	PoS	71
17-00219	Baltimore, MD	01/23/2017	03/26/2018	04/03/2018	Morgan Stanley Smith Barney LLC; et al.	ISC	Brandon Christopher Oliver	Offit Kurman PA	NO	NO	G		x		James W. (Jim) Geiger - Chair; Ellen F. Kandell; Timothy J. Wright	1		Rs	
17-00224	*, *	01/26/2017	09/21/2017	10/11/2017	AG Edwards & Sons Incorporated nka Wells Fargo Advisors LLC	ISC	James Raymond Everitt	AdvisorLaw LLC	NO	NN	G	x	x		Herbert Liberman	1		Dec	
17-00225	Omaha, NE	01/26/2017	10/09/2017	12/18/2017	Cetera Investment Services LLC	ISC	Jon Ronald Springer	AdvisorLaw LLC	NO	NO	G		x	x	Charles G. Michaels, Esq.	1	08/09/2017	Not	61
17-00236	*, *	01/27/2017	10/02/2017	03/20/2018	Imperial Capital LLC	Keesal Young & Logan	Mark Lawrence Eshman	AdvisorLaw LLC	NO	OB	G	x			Nina Vallion, JD	2	08/07/2017	Not	56
17-00238	*, *	01/27/2017	09/07/2017	10/11/2017	QA3 Financial Corporation	No-show	James Robert Files	AdvisorLaw LLC	NO	NO	G	x	x		Kevin C. Coleman, JD	2	07/20/2017	PoS	49
17-00289	Newark, NJ	02/03/2017	05/31/2017	06/14/2017	UBS Financial Services Incorporated	ISC	Kathleen McNicholas Entwistle	Bressler Amery & Ross	NO	NO	G	x			Louis H. Miron, Esq.	1	05/19/2017	CR	12
17-00293	*, *	02/03/2017	08/30/2017	09/08/2017	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Michelle M. Peng	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	07/25/2017	PoS	36
17-00304	*, *	02/06/2017	09/15/2017	10/12/2017	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (AGE&S, WFCS)	Thomas Roper Fields III	AdvisorLaw LLC	NO	NO	G		x	x	Neil Harvey Smith	1	06/26/2017	Not	81
17-00306	New York, NY	02/06/2017	08/03/2017	08/15/2017	Wells Fargo Clearing Services LLC	ISC	David Rosenberg	Martin LLP	NO	NO	G		x		William G. Binckes, Esq.	1	06/12/2017	Not	52
17-00309	*, *	02/06/2017	08/07/2017	09/12/2017	Thrivent Investment Management Incorporated	Bryan Cave LLP	Chad Everett Staskall	AdvisorLaw LLC	NO	UN	D				Dean J. Dietrich, Esq.	1		UN	

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												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days
17-00319	Milwaukee, WI	02/06/2017	09/08/2017	09/21/2017	Prudential Equity Group LLC	Law Offices of Alan S. Broderson	Mark Tollie Gierl	AdvisorLaw LLC	NO	OB	D				Robert J. Scafuri, Esq.	1	06/27/2017	OtS	73
17-00333	Atlanta, GA	02/07/2017	11/08/2017	11/13/2017	Raymond James & Associates Incorporated	ISC	Anthony Dye	Wland Guerra King PL	NO	NO	G		x		Lita S. Menkin, JD - Chair; Gary J. Leshaw, JD; Royce Alan Burns	1	07/06/2017	PoS	125
17-00369	Washington, DC	02/10/2017	06/19/2017	07/06/2017	UBS Financial Services Incorporated	ISC	Ambrose Powell Hill	Bressler Amery & Ross	NO	NO	G	x	x	x	Douglas Earl McLaren, Esq.	1	06/05/2017	PoS	14
17-00371	*, *	02/10/2017	10/24/2017	11/14/2017	Ameriprise Financial Services Incorporated; The Prudential Insurance Company of America	Law Office of Alan S. Broderson (PIoA); ISC (AFS)	Robert Dean Pippenger Jr.	AdvisorLaw LLC	NO	NO	G		x	x	Stuart K. Furman	1	06/20/2017	PoS	126
17-00373	Boca Raton, FL	02/08/2017	11/10/2017	11/21/2017	Securities America Incorporated; First Allied Securities Incorporated	Wland Guerra King PL (SA); ISC (FAS)	Jeremy David Gottlieb	Schoepl Law PA	NO	NO	G			x	William E. Schneider - Chair; William Kent Brown, Esq.; Alisa Matire	1	08/07/2017	OtS	95
17-00397	Wilmington, DE	02/14/2017	10/16/2017	11/27/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kent Cope Habecker	AdvisorLaw LLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	05/30/2017	Not	139
17-00402	Washington, DC	02/14/2017	09/15/2017	10/02/2017	Citigroup Global Markets Incorporated; Morgan Stanley	Bressler Amery & Ross (CGM); ISC (MSSB)	Andrew Lief Rieger	AdvisorLaw LLC	NO	NO	G	x	x		Olivia Milbank Farrar, JD	1	07/20/2017	PoS	57
17-00403	New York, NY	02/14/2017	07/17/2018	08/16/2018	Morgan Stanley Smith Barney LLC; et al.	ISC; Customer	Socrates E. Cruz	Herrick Feinstein LLP	NO	NO	G		x		Howard J. Stiefel, Esq. - Chair; Anna Lascar; Nunzio Garzino	2		Rs	
17-00405	*, *	02/14/2017	11/13/2017	01/12/2018	National Planning Corporation; QA3 Financial Corporation	Freeman Mathis & Gary (NP); No-show (QA3F)	Daniel Shiek Ahmad	AdvisorLaw LLC	NO	NO	G	x	x	x	John J. Fitzpatrick, Jr., Esq.	4	08/15/2017	Not	90
17-00416	Boca Raton, FL	02/15/2017	04/16/2018	05/03/2018	Morgan Stanley Smith Barney LLC; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (MSSB)	Jeremy Lansat; Joel Lansat.	Herskovits PLLC	NO	OB	G/D	x		x	Monroe Mitchel - Chair; Mark C. Perry, Esq.; Ronald F. Rohe, Esq.	1	02/12/2018	PoS	63
17-00436	New York, NY	02/16/2017	08/11/2017	08/22/2017	Park Avenue Securities LLC	ISC	Adam S. Greenstein	AdvisorLaw LLC	NO	NO	G	x	x		Karen Isabel Bedrosian-Richardson	1		UD	
17-00438	*, *	02/16/2017	10/17/2017	11/21/2017	Questar Capital Corporation	Faegre Baker Daniels LLP	Robert Carlson	AdvisorLaw LLC	NO	NO	G	x		x	Richard E. Miley	1	06/22/2017	PoS	117
17-00442	Augusta, ME	02/20/2017	07/18/2017	10/18/2017	Voya Financial Partners LLC	ISC	James Edgar Bradley	AdvisorLaw LLC	NO	NO	G		x		Samuel Harrison Chorchos, Esq.	1	05/30/2017	Not	49
17-00443	Tampa, FL	02/10/2017	07/11/2017	07/18/2017	Allen & Company of Florida Incorporated	Stanton Cronin Law Group PL	Steven P. McTaggart	Gray Robinson PA	NO	NO	G		x		Richard S. Zaifert, Esq. - Chair; Philip L. Manczak; Patrick D. King	1		UD	
17-00446	Baltimore, MD	02/20/2017	08/22/2017	09/14/2017	Deutsche Bank Securities Incorporated	Paduano & Weintraub LLP	Theodore Cooke Waters III	AdvisorLaw LLC	NO	NO	G		x		William J. Hirsch, Esq.	1		UD	
17-00447	Baltimore, MD	02/20/2017	10/27/2017	11/15/2017	Deutsche Bank Securities Incorporated	Paduano & Weintraub LLP	Brett Douglas Clifford	AdvisorLaw LLC	NO	NO	G	x	x		Brenda J. Stovall, Esq.	1	08/09/2017	PoS	79

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-00457	*, *	02/20/2017	11/20/2017	11/30/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Edward Schulten	AdvisorLaw LLC	NO	NO	G	x	x	x	1	06/21/2017	PoS	152	
17-00472	Tampa, FL	02/21/2017	10/19/2017	10/31/2017	Morgan Stanley & Company Incorporated	ISC	David Jay Bass	Baritz & Colman	NO	NO	G	x	x	x	1	06/29/2017	OtS	112	
17-00509	*, *	02/24/2017	10/03/2017	10/13/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Scott Daniel Hood	AdvisorLaw LLC	NO	NO	G	x	x	x	1	08/08/2017	Not	56	
17-00511	*, *	02/24/2017	11/01/2017	11/17/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Bradley Jay Barnblatt	AdvisorLaw LLC	NO	NO	G		x		1	07/31/2017	PoS	93	
17-00516	San Francisco, CA	02/24/2017	11/28/2017	12/19/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Rex Bahney; Sandra Rae Dalton; Michael S. Treinen	Bressler Amery & Ross	NO	NO	G	x	x		2	08/01/2017	CR	119	
17-00532	*, *	02/28/2017	10/26/2017	12/28/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Aaron A. DelSignore	Snell & Wilmer LLP	NO	OB	G/D	x		x	2		UD		
17-00533	Tampa, FL	02/28/2017	10/11/2017	10/31/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Andrew Smith	AdvisorLaw LLC	NO	OB	G	x	x		1	06/28/2017	OtS	105	
17-00545	Philadelphia, PA	03/01/2017	12/11/2017	12/21/2017	Prudential Equity Group LLC; UBS Financial Services Incorporated	Law Office of Alan S. Brodherson (PEG); Bressler Amery & Ross (UBSFS)	Thomas Joseph McInerney	AdvisorLaw LLC	NO	NO	G	x	x		1	06/08/2017	Not	186	
17-00550	*, *	03/01/2017	09/19/2017	09/29/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Edward Graham	AdvisorLaw LLC	NO	NO	G	x	x		1	08/23/2017	Not	27	
17-00555	*, *	03/02/2017	10/09/2017	11/03/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	J. Graydon Coghlan	AdvisorLaw LLC	NO	NO	G	x	x	x	2	08/09/2017	Not	61	
17-00561	Philadelphia, PA	03/03/2017	12/18/2017	01/10/2018	Northwestern Mutual Investment Services LLC; Wells Fargo Clearing Services LLC	Marshall Dennehey et al. (NMIS); ISC (WFCS)	Timothy Martin Foster	AdvisorLaw LLC	NO	NO	G/D	x	x		1	09/19/2017	PoS	90	
17-00575	Philadelphia, PA	03/06/2017	10/12/2017	10/23/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Gregory Patrick Hayes	AdvisorLaw LLC	NO	UN	D				1		UN		
17-00579	Tampa, FL	03/06/2017	10/05/2017	10/17/2017	Wells Fargo Clearing Services LLC	ISC	Nancy Kimball Mellon	AdvisorLaw LLC	NO	NO	G	x	x		1	07/20/2017	OtS	77	
17-00589	New York, NY	03/07/2017	08/02/2017	08/21/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Paul Scott Selvin	Law Office of Patrick R. Mahoney	NO	NO	G	x	x		1		UD		
17-00624	Tampa, FL	03/08/2017	09/06/2017	10/02/2017	G.F. Investment Services LLC	Wiand Guerra King PL	Geoffrey A. Frazier	Stark & Stark	NO	NO	G	x	x	x	1	07/18/2017	PoS	50	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-00626	*, *	03/09/2017	10/17/2017	10/25/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kevin Harold Wilson	AdvisorLaw LLC	NO	NO	G	x	x		David F. Barrett	1	06/08/2017	PoS	131
17-00666	Birmingham, AL	03/15/2017	12/11/2017	01/26/2018	Variable Annuity Life Insurance Company; VALIC Financial Advisors Incorporated	Rollin Braswell Fisher LLC (VALICFA); No-show (VALI)	Brett Andrew Laferrera	None	NO	NO	G/D	x	x		Barbara Black, Esq. - Chair; Robert N. Kohn; Terresa L. Beaman	3	09/26/2017	PoS	76
17-00670	Orlando, FL	03/10/2017	10/25/2017	11/01/2017	First Allied Securities Incorporated	ISC	Stephen Gerard Rossi Sr.	RJM Counsel PLLC	NO	NO	G		x		Martin M. Van Luven	1	08/04/2017	Not	82
17-00727	*, *	03/21/2017	11/09/2017	12/11/2017	Morgan Stanley & Company LLC; Morgan Stanley DW Incorporated	ISC	Richard Brian French	AdvisorLaw LLC	NO	NO	G	x	x		Michael E. Rohde, Esq.	1	08/09/2017	Not	92
17-00734	*, *	03/21/2017	02/28/2018	03/20/2018	Goldman Sachs & Company	Cohen & Gresser	Kevin Dale Kimery	AdvisorLaw LLC	NO	NO	G	x			Stephen H. Biller, Esq.	1	01/03/2018	Not	56
17-00736	Detroit, MI	03/21/2017	10/31/2017	11/16/2017	Securities America Incorporated	Saretsky Hart et al.	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	NO	G	x	x		Patrick R. Sughroue, Esq.	1	09/05/2017	Not	56
17-00742	Washington, DC	03/22/2017	10/10/2017	10/16/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David Alex Ciccone	AdvisorLaw LLC	NO	NO	G	x			Matthew Stephen Duchesne	1	07/19/2017	PoS	83
17-00743	Atlanta, GA	03/22/2017	09/28/2017	10/20/2017	UBS Financial Services Incorporated of Puerto Rico	Bressler Amery & Ross	Frank Julio Carrasco	Toro Colon et al.	NO	NO	G	x	x		Mollie Wagner Neal, Esq.	1	08/02/2017	PoS	57
17-00760	Newark, NJ	03/24/2017	09/28/2017	10/13/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Richard Ralph Lafferty	AdvisorLaw LLC	NO	NO	G	x	x		Philip Levine, CPA, Esq.	1	09/07/2017	Not	21
17-00761	New York, NY	03/24/2017	12/05/2017	06/21/2018	1717 Capital Management Company; Metropolitan Life Insurance Company	Coss & Momjian (1717CM); No-show (MLI)	Michael Scott Luftman	AdvisorLaw LLC	NO	OB	G/D	x	x	x	Martin Mushkin, Esq.	1	08/15/2017	Not	112
17-00775	Hartford, CT	03/27/2017	09/11/2017	12/08/2017	G.R. Phelps & Company Incorporated	ISC	Barry Franklin Johnson	AdvisorLaw LLC	NO	NO	G		x		Diane Ciccone, Esq.	1	09/11/2017	Not	0
17-00789	*, *	03/28/2017	12/14/2017	12/22/2017	Wells Fargo Advisors LLC	ISC	Michael Vernon Biggs	AdvisorLaw LLC	NO	UN	D				James A. McIntosh	1		UN	
17-00796	New York, NY	03/29/2017	06/20/2017	07/05/2017	UBS Financial Services Incorporated	ISC	Karen Ann Kurrasch	Bressler Amery & Ross	NO	NO	G	x	x		Joseph J. Arata, Esq.	1		UD	
17-00812	*, *	03/29/2017	10/24/2017	01/17/2018	Morgan Stanley DW Incorporated	ISC	John David Jaicks	AdvisorLaw LLC	NO	OB	D				Terry M. Lloyd, CPA, CFA	1	10/23/2017	CR	1
17-00825	San Francisco, CA	03/23/2017	07/31/2017	10/03/2017	Customers only	Customer	Nicholas Cowles Cochran; Clarence Yee	Evans & Kob	NO	NO	G	x			Isidoro Berkman, Esq.	2		Rs	
17-00853	Boca Raton, FL	04/03/2017	10/18/2017	02/12/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Craig Daniel Price	Baritz & Colman	NO	OB	G	x		x	Richard W. Epstein, Esq. - Chair; Gilbert A. Schnirman, MD; Frederick P. Hartman, CPA	2	10/18/2017	OtS OAH	0

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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																	Before First Hearing		
17-00865	Baltimore, MD	04/04/2017	08/14/2017	08/17/2017	Legg Mason Investor Services LLC	ISC	Howard Mirvis	Miles & Stockbridge	NO	NO	G		x		Vicky L. Orem, Esq.	1	08/08/2017	Not	6
17-00867	Boca Raton, FL	04/04/2017	03/05/2018	03/14/2018	Next Financial Group Incorporated; et al.	ISC; Customer	Dirk David Rabenold	Sallah Astarita & Cox	NO	NO	G		x		Elena G. Rodriguez - Chair; Richard W. Epstein, Esq.; Robert A. Sauerberg	1		Rs	
17-00881	*, *	04/05/2017	11/28/2017	12/07/2017	Ameriprise Financial Services Incorporated	ISC	Alvin Sanders	AdvisorLaw LLC	NO	NO	G/D	x	x	x	Herbert Liberman	1	10/10/2017	Not	49
17-00890	*, *	04/06/2017	11/21/2017	12/05/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael Alan Greer	AdvisorLaw LLC	NO	OB	G		x		A. Joel Klein, Esq.	1	08/11/2017	Not	102
17-00893	Boca Raton, FL	04/07/2017	10/05/2017	10/11/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Matthew Timothy Shafer	Baritz & Colman	NO	NO	G	x		x	Robert Lawrence Ostrov - Chair; Richard S. Herman; David G. Pittinos	1	09/29/2017	Not	6
17-00901	Hartford, CT	04/07/2017	11/09/2017	02/15/2018	Charles Schwab & Company Incorporated	ISC	Victoria Lynn Mueller	JRA Law Partners LLP	NO	NO	D				Edward Blumstein, Esq. - Chair; Melanie Merchant Cunningham; Lucia A. Aschettino	1		UD	
17-00932	Newark, NJ	04/12/2017	08/01/2017	08/09/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Charles Ellis Connant.	AdvisorLaw LLC	NO	NO	G	x	x		Morton S. Bunis, Esq.	1	07/17/2017	Not	15
17-00933	New York, NY	04/12/2017	12/14/2017	01/09/2018	Citicorp Investment Services Incorporated	Bressler Amery & Ross	Suzanne Hillary Nitzberg	None	NO	NO	G	x	x		Anthony Michael Sabino, Esq.	1	10/27/2017	Not	48
17-00934	Wilmington, DE	04/10/2017	10/30/2017	11/17/2017	Wells Fargo Advisors Financial Network LLC	ISC	Joseph Francis Mahoney	Coss & Momjian	NO	NO	G	x	x	x	Robert E. Anderson, Esq.	1		UD	
17-00936	Baltimore, MD	04/12/2017	11/10/2017	11/30/2017	Morgan Stanley Smith Barney LLC	ISC	John C. Tompkins	AdvisorLaw LLC	NO	NO	G	x			Joseph J. Dougherty, JD	1	07/31/2017	Not	102
17-00937	Tampa, FL	04/12/2017	08/29/2017	09/18/2017	Customers only	Customer	Ronald Oldano	Murphy & Anderson	NO	NO	G	x	x	x	Edith N. Dinneen, Esq.	1		Rs	
17-00941	*, *	04/12/2017	11/02/2017	11/14/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Joseph Alan Seidler	AdvisorLaw LLC	NO	NO	G	x	x		Arocles Aguilar	1	08/09/2017	Not	85
17-00970	Detroit, MI	04/17/2017	10/26/2017	11/28/2017	Kalos Capital Incorporated	ISC	Curtis Leroy Whipple	Maddin Hauser et al.	NO	NO	G			x	John F. Burns, Esq.	1	10/19/2017	PoS	7
17-00982	Boston, MA	04/18/2017	09/28/2017	10/30/2017	Customers only	Customer	Harvey Robert Boshart; James Campbell Fagan	Eugene L. Small PC	NO	NO	G	x	x	x	Richard J. Grahn, Esq. - Chair; Frederick J. Myers; Arthur Thomas Carr	1		Rs	
17-01003	Detroit, MI	04/19/2017	02/22/2018	03/30/2018	MML Investors Services LLC fka MML Investors Services Incorporated; LPL Financial LLC fka Linsco/Private Ledger Corporation	Kramer & Kramer (MMLIS); ISC (LPLF)	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	OB	G		x		Martin J. Brosnan, Esq.	1	10/25/2017	Not	120

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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17-01027	Chicago, IL	04/21/2017	12/12/2017	02/05/2018	Woodbury Financial Services Incorporated	ISC	Genevieve Garcia Mar	AdvisorLaw LLC	NO	NO	G		x		Kenneth N. Adamson, Esq.	1	10/31/2017	Not	42
17-01039	Raleigh, NC	04/24/2017	10/10/2017	10/24/2017	UBS Financial Services Incorporated	ISC	Manish Mehta	Bressler Amery & Ross	NO	NO	G	x	x		John P. Cullem, Esq.	1	09/22/2017	PoS	18
17-01044	Richmond, VA	04/24/2017	01/04/2018	01/19/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Brandon Jeffrey Mink	AdvisorLaw LLC	NO	NO	G	x	x		James W. (Jim) Geiger	1	08/16/2017	Not	141
17-01049	Atlanta, GA	04/25/2017	11/29/2017	12/01/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	R. Mark Castle	AdvisorLaw LLC	NO	NO	G	x	x		Lita S. Menkin, JD	1	08/15/2017	PoS	106
17-01050	San Francisco, CA	04/25/2017	01/23/2018	02/08/2018	Customers only	Customer	Gregory Robert Sain	Keesal Young & Logan	NO	NO	G		x		John J. Fitzpatrick, Jr., Esq. - Chair; Benjamin Slomoff, ADR, MA; Gilbert R. Serota, Esq.	1	01/02/2018	PoS	21
17-01081	*, *	04/27/2017	11/01/2017	12/01/2017	Securities America Incorporated	Saretsky Hart et al.	Jordan Mark Dechtman	AdvisorLaw LLC	NO	OB	G	x			Lynn Hirschfeld Brahlin, Esq.	2	08/07/2017	Not	86
17-01093	Boston, MA	04/28/2017	10/11/2017	10/31/2017	Pruco Securities LLC; et al.	Law Offices of Alan S. Brodherson	Heidi Lydia Hanson	Thomas N. O'Connor, Attorney-at-Law	NO	NO	G		x		Denise L. Presley, Esq. - Chair; Abigail Falcon-Rosa	1		Rs	
17-01094	New York, NY	05/01/2017	11/28/2017	12/05/2017	Eastbrook Capital Group LLC	No-show	Thomas Edison Kelly	AdvisorLaw LLC	NO	NO	G	x	x		Madelon M. Rosenfeld, Esq.	1	10/10/2017	PoS	49
17-01108	*, *	05/01/2017	12/07/2017	12/21/2017	MONY Securities Corporation; Woodbury Financial Services Incorporated	Advisor Group Inc. (WFS); ISC (MONYS)	William Geiger Stafford	AdvisorLaw LLC	NO	NO	G	x			Richard J. Stall, Jr., Esq.	1	08/22/2017	Not	107
17-01117	Dallas, TX	05/01/2017	11/20/2017	12/06/2017	Customers only	Customer	Jeremy Bardin	Drinker Biddle & Reath	NO	NO	G			x	Dineo Coleman Gary - Chair; Joseph Neal Richardson; Charles Robert Elhoff, Jr.	1		Rs	
17-01125	Tampa, FL	05/02/2017	05/04/2018	05/09/2018	Morgan Stanley & Company LLC	ISC	David Robert Begala	AdvisorLaw LLC	NO	NO	G	x	x	x	John P. Cullem, Esq.	1	08/17/2017	PoS	260
17-01127	*, *	05/02/2017	12/05/2017	12/18/2017	Larson Financial Securities LLC	ISC	Christopher Alan Clark	AdvisorLaw LLC	NO	NO	G	x	x	x	Robert F. Saint-Aubin, Esq.	1	08/16/2017	Not	111
17-01129	Albany, NY	05/03/2017	01/24/2018	02/05/2018	LPL Financial LLC	ISC	Leonard Frank Valletta	AdvisorLaw LLC	NO	NO	G		x		Pamela H. Roderick	1		UD	
17-01135	Washington, DC	05/03/2017	04/12/2018	05/22/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jeffrey Elliott Leventhal	AdvisorLaw LLC	NO	NO	G/D	x			Edward M. Statland, Esq.	2	03/21/2018	Not	22
17-01141	Newark, NJ	05/04/2017	10/17/2017	10/30/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Lawrence William Catena	AdvisorLaw LLC	NO	NO	G	x	x		Joseph H. Cerame, Esq.	1	09/11/2017	Not	36
17-01144	Milwaukee, WI	05/04/2017	10/18/2017	11/21/2017	Morgan Stanley & Company LLC	ISC	Anthony C. Pecoraro	Amato Law Firm	NO	NO	G		x		Philip J. Glick, Esq.	1	10/12/2017	Not	6
17-01151	*, *	05/05/2017	02/05/2018	04/10/2018	Securities America Incorporated	Saretsky Hart et al.	Thomas Kerby Hall	AdvisorLaw LLC	NO	OB	G	x			Daniel M. Yamshon, Esq.	3	10/31/2017	Not	97
17-01153	Philadelphia, PA	05/05/2017	09/26/2017	10/09/2017	NLife Securities LLC	Morgan Lewis & Bockius	David S. Coult	Saretsky Hart et al.	NO	NN	G	x	x		Donald S. Bauman, Esq.	1		Dec	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-01201	Chicago, IL	05/09/2017	02/11/2018	03/16/2018	LaSalle Financial Services Incorporated; Banc of America Investment Services Incorporated	Bressler Amery & Ross	Alex Papadopoulos	AdvisorLaw LLC	NO	NO	G/D		x		James A. Murphy, JD	2	08/16/2017	Not	179
17-01210	*, *	05/10/2017	10/25/2017	11/06/2017	Piper Jaffray & Company	ISC	Ronald Mark Daly	Law Office of Patrick R. Mahoney	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	10/03/2017	Not	22
17-01215	New York, NY	05/11/2017	01/08/2018	01/19/2018	Morgan Stanley	ISC	Mark Stephen Kaschenbach	AdvisorLaw LLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	12/07/2017	PoS	32
17-01235	Boston, MA	05/12/2017	09/25/2017	11/07/2017	Essex Securities LLC	Godbout Law PLLC	James Edmond Moniz	Law Office of Peter F. Flynn	NO	OB	D				Arthur J. Giacomarra, Esq.	1	09/20/2017	Not	5
17-01240	New York, NY	05/15/2017	12/14/2017	01/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Patrick Ryan Henry	AdvisorLaw LLC	NO	NO	G		x		Keely D. Parr, Esq.	1	08/29/2017	Not	107
17-01245	Miami, FL	05/15/2017	12/01/2017	12/14/2017	Securities America Incorporated; Geneos Wealth Management Incorporated	ISC	Marc Allan Silverman	AdvisorLaw LLC	NO	NO	G	x	x		Barry David Thorpe (fka Barry K. Thorpe, Esq.)	1	08/28/2017	OtS	95
17-01260	Baltimore, MD	05/16/2017	10/11/2017	10/31/2017	T. Rowe Price Investment Services Incorporated	Donovan & Rainie	Charles Daniel Fuller	None	NO	NN	G	x			Joseph J. Dougherty, JD	1		Dec	
17-01262	Tampa, FL	05/16/2017	12/19/2017	12/26/2017	JW Cole Financial Incorporated; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); No-show (JWCF)	Scott Alan Jaffe	AdvisorLaw LLC	NO	NO	G	x	x		Gregory D. Hoffmann	1	10/17/2017	PoS	63
17-01263	*, *	05/16/2017	02/12/2018	02/16/2018	Pruco Securities LLC	Law Offices of Alan S. Brodherson	Louis Meyers Tilchin	AdvisorLaw LLC	NO	OB	D				James B. Eichberg, CPA	1	01/31/2018	CR	12
17-01286	Tampa, FL	05/17/2017	01/17/2018	01/29/2018	Larson Financial Securities LLC	ISC	Colin Gregory Wiens	AdvisorLaw LLC	NO	NO	G	x	x		Brian G. Mooney, Esq.	1	08/21/2017	Not	149
17-01288	Washington, DC	05/17/2017	02/09/2018	02/15/2018	Tower Square Securities Incorporated	ISC	Michael Eugene Pierce	AdvisorLaw LLC	NO	NO	D				Christopher M. McMurray, Esq.	1	08/17/2017	PoS	176
17-01307	Detroit, MI	05/18/2017	12/20/2017	12/22/2017	MML Investors Services LLC; LPL Financial LLC	Kramer & Kramer (MMLIS); Stevens & Lee (LPLF)	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	NO	G	x	x		Patrick R. Sughroue, Esq.	1	10/17/2017	Not	64
17-01309	Hartford, CT	05/19/2017	02/06/2018	02/09/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Christopher Brent Metcalf	Cohen & Wolf	NO	NO	G	x	x		Edward W. Morris, Jr., Esq. - Chair; Paul Smith Besson; Marissa A. Santangelo	1	02/01/2018	PoS	5
17-01310	Hartford, CT	05/19/2017	02/22/2018	03/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Christopher B. Metcalf; Jeffrey H. Cole	Cohen & Wolf	NO	NO	G		x	x	Edward W. Morris, Jr., Esq. - Chair; Catherine M. Gallagher; Marissa A. Santangelo	1	12/19/2017	Not	65
17-01330	Atlanta, GA	05/22/2017	04/24/2018	05/17/2018	First Southern Securities LLC	ISC	Vasileios Alexios Sfyris	Ulmer & Berne	NO	NO	G		x		Robert H. Putnam, Jr., Esq. - Chair; Shawn Barr; Michael J. Stern, Esq.	1	01/22/2018	PoS	92
17-01331	Atlanta, GA	05/22/2017	04/25/2018	05/04/2018	First Southern Securities LLC	ISC	William Heath Hawk	Ulmer & Berne	NO	NO	G	x	x		John F. Allgood, Esq. - Chair; David Frank Walbert; Michael J. Stern, Esq.	1	09/07/2017	PoS	230

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000Z130 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
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17-01391	Nashville, TN	05/26/2017	12/11/2017	12/26/2017	Raymond James Financial Services Incorporated	ISC	David Wayne Adams	Holcomb & Ward	NO	NO	G		x		Theodore Haynes - Chair; Neil Harvey Smith; Stephen Edward Cundiff	1	10/30/2017	Not	42
17-01395	Memphis, TN	05/26/2017	01/04/2018	01/11/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	John David Santi	AdvisorLaw LLC	NO	NO	G	x			John B. Roe	1	08/18/2017	PoS	139
17-01405	Wilmington, DE	05/30/2017	10/10/2017	10/26/2017	Coastal Equities Incorporated	ISC	Gregg Michael Somerville	Miles & Stockbridge	NO	NO	G	x	x		Morton S. Bunis, Esq.	1	09/14/2017	PoS	26
17-01410	Baltimore, MD	05/30/2017	11/29/2017	01/24/2018	Coastal Equities Incorporated	ISC	Kari March	Miles & Stockbridge	NO	NO	G			x	Brenda J. Stovall, Esq.	1	10/24/2017	OtS	36
17-01420	*, *	05/31/2017	11/02/2017	11/15/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Anthony Daniel Guinane	AdvisorLaw LLC	NO	NO	G	x	x		Robert D. Sussin, Esq.	1	08/18/2017	Not	76
17-01429	New York, NY	06/01/2017	04/25/2018	06/07/2018	Ouisa Capital LLC	ISC	Vincent Molinari	Ulmer & Berne	NO	NO	G	x	x		Richard W. Cutler, Esq. - Chair; Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.); Ellen Slipp	1	04/07/2017	Not	383
17-01433	Charlotte, NC	06/01/2017	11/30/2017	03/01/2018	BB&T Investment Services Incorporated	Murphy & McGonigle	Gray K. Daus	AdvisorLaw LLC	NO	NO	G	x	x		Douglas Earl McLaren, Esq.	1	08/18/2017	PoS	104
17-01443	San Juan, PR	06/02/2017	02/21/2018	03/08/2018	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Rafael Rivera	Toro Colon et al.	NO	NO	G	x	x	x	Martin A. Feigenbaum, Esq.	1	12/20/2017	Not	63
17-01464	New York, NY	06/06/2017	11/30/2017	12/11/2017	Wells Fargo Advisors LLC	ISC	Joseph Bancheri; Michael Lupton	Holcomb & Ward	NO	NO	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Joan M. Traub, Esq.; Sean F. Monahan	1		UD	
17-01468	Atlanta, GA	06/06/2017	11/03/2017	11/15/2017	UBS Financial Services Incorporated	ISC	Edward Upchurch Miller	Bressler Amery & Ross	NO	NO	G	x	x		Mollie Wagner Neal, Esq.	1	01/02/2017	CR	305
17-01493	Baltimore, MD	06/08/2017	03/29/2018	05/31/2018	Wells Fargo Clearing Services LLC	ISC	Stephen Frederick Owen, III	AdvisorLaw LLC	NO	NO	G	x			Joseph J. Dougherty, JD	2	08/18/2017	PoS	223
17-01494	*, *	06/08/2017	11/14/2017	11/27/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	James Edward Chiate	AdvisorLaw LLC	NO	NO	G	x			Richard J. Stall, Jr., Esq.	1	08/18/2017	Not	88
17-01506	*, *	06/09/2017	02/13/2018	02/26/2018	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Law Office of Alan S. Brodherson (PEG); ISC (WFCS)	Jarrod Edward Biebel	AdvisorLaw LLC	NO	OB	G/D		x		Philip J. Glick, Esq.	1	08/18/2017	Not	179
17-01537	New York, NY	06/13/2017	03/08/2018	04/05/2018	Oppenheimer & Company Incorporated; Raymond James & Associates Incorporated	ISC	Peter Chris Marketos	Herskovits PLLC	NO	NO	G	x			Ted M. Rosen, Esq.	1	02/08/2018	Not	28
17-01539	Boston, MA	06/12/2017	11/16/2017	12/11/2017	Wells Fargo Clearing Services LLC	ISC	Pamela M. Nottingham	Ruberto Israel & Weiner	NO	OB	G	x			Richard J. Grahn, Esq.	1		UD	

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17-01545	San Diego, CA	06/12/2017	01/08/2018	02/01/2018	National Planning Corporation	ISC	George William Melbrod Jr.; Scott H. Melbrod	Holmes Taylor et al.	NO	NO	G	x	x	x	2	Herbert Liberman - Chair; Robert F. Saint-Aubin, Esq.; Gunnar Thowsen	01/05/2018	Not	3
17-01548	Detroit, MI	06/14/2017	01/12/2018	03/15/2018	Equity Services Incorporated	Winget Spadafora & Schwartzberg	Paisu Kang	Maddin Hauser et al.	NO	NO	G/D	x			2	Robert J. Scafuri, Esq.	10/20/2017	PoS	84
17-01549	New York, NY	06/14/2017	03/06/2018	04/26/2018	Oppenheimer & Company Incorporated; Raymond James & Associates Incorporated	ISC	Peter C. Marketos	Herskovits PLLC	NO	OB	G/D	x	x		2	Joseph J. Arata, Esq.	02/14/2018	Not	20
17-01562	*, *	06/14/2017	11/15/2017	01/02/2018	Customers only	Customer	Thomas James Kokjohn	Keesal Young & Logan	NO	NO	G			x	1	Kendall C. Reed, Esq.		Rs	
17-01566	New York, NY	06/15/2017	02/06/2018	02/09/2018	Eastbrook Capital Group LLC; Maxim Group LLC; Nichols Safina Lerner & Company Incorporated	ISC	Sean Michael Murphy	AdvisorLaw LLC	NO	NO	G		x		1	Richard W. Cutler, Esq.	01/02/2018	Not	35
17-01602	Cincinnati, OH	06/16/2017	09/06/2017	09/19/2017	UBS Financial Services Incorporated	ISC	Leonard D. Kichler	Bressler Amery & Ross	NO	NO	G	x	x	x	1	Richard W. Dissen, Esq.	08/11/2017	CR	26
17-01616	Newark, NJ	06/19/2017	11/30/2017	12/20/2017	Morgan Stanley & Company LLC	ISC	Ira Allen Walker	Kaufmann Gildin & Robbins	NO	NO	G		x		1	Neal D. Baker, Esq. - Chair; Gregory James Libertiny; Chaim A. Levin, Esq.	11/07/2017	PoS	23
17-01624	*, *	06/20/2017	02/20/2018	03/16/2018	Morgan Stanley Incorporated; Morgan Stanley DW Incorporated; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (MS & MSDW)	Mary Colleen Wright	AdvisorLaw LLC	NO	OB	G/D	x	x	x	1	Gregory G. Gocek	08/22/2017	Not	182
17-01641	Boston, MA	06/21/2017	12/12/2017	01/25/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Alexander Soukup	AdvisorLaw LLC	NO	NO	G		x		1	Joseph Charles Kennedy, Jr.	11/17/2017	PoS	25
17-01650	San Diego, CA	06/21/2017	10/02/2018	10/25/2018	EF Hutton & Company Incorporated; Morgan Stanley Smith Barney LLC	Law Offices of Alan S. Brodherson (PEG); ISC (MSSB); No-show (EFH)	Stephen Phillip Whitman	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	Michael E. Rohde, Esq.	08/22/2017	Not	406
17-01659	*, *	06/22/2017	02/06/2018	02/16/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Douglas Peter Eikenberry	AdvisorLaw LLC	NO	NO	G	x	x		1	Katherine H. O'Neil, Esq.	08/23/2017	Not	167
17-01661	Minneapolis, MN	06/22/2017	01/26/2018	01/31/2018	Harbour Investments Incorporated	Vanasco Genelly & Miller	Stephen Joseph Koessler	AdvisorLaw LLC	NO	UN	G	x	x		1	Frederick Ramos, Esq.	11/17/2017	PoS	70
17-01662	Milwaukee, WI	06/22/2017	04/18/2018	04/27/2018	AXA Advisors LLC	ISC	Todd J. Barden	AdvisorLaw LLC	NO	UN	D				1	Gerald W. Hepp		UN	
17-01667	St. Louis, MO	06/23/2017	01/30/2018	02/13/2018	Larson Financial Securities LLC	No-show	Paul Douglas Larson	AdvisorLaw LLC	NO	NO	G/D		x		1	Julius Z. Frager	08/23/2017	Not	160

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved			Date	Detail	Days
17-01708	Dallas, TX	06/27/2017	02/05/2018	03/15/2018	Legg Mason Wood Walker Incorporated; Capital One Investments LLC; Morgan Stanley DW Incorporated	Todd Ratner PLC (COI); ISC (LMWW, MSDW)	Norman Todd Coates	AdvisorLaw LLC	NO	NO	G	x	x	x	David A. Schuler	1	08/23/2017	Not	166
17-01717	New York, NY	06/29/2017	10/23/2017	11/17/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michael D. Prokop	Bressler Amery & Ross	NO	NO	G	x		x	Nancy Kramer	1		UD	
17-01732	Jacksonville, FL	06/29/2017	03/08/2018	03/16/2018	First Allied Securities Incorporated; Fairchild Financial Group Incorporated fka VTR Capital Incorporated	ISC (FAS); No-show (FFG)	Daniel Martin Ciez	Amato Law Firm	NO	NO	G		x	x	Richard S. Zaifert, Esq.	1	02/16/2018	Not	20
17-01759	New York, NY	07/05/2017	10/23/2017	11/30/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Terry Ian Zickerman	Bressler Amery & Ross	NO	NO	G	x	x		David I. Goldblatt, Esq.	1	10/05/2017	Not	18
17-01764	Los Angeles, CA	07/05/2017	06/11/2018	07/27/2018	Ameriprise Advisor Services Incorporated	ISC	James Matthew Patton	AdvisorLaw LLC	NO	NO	G	x	x		Alan M. Rosen	2	08/31/2017	PoS	284
17-01771	Houston, TX	07/05/2017	09/12/2017	09/21/2017	UBS Financial Services Incorporated	ISC	Farhood Kasiri	Bressler Amery & Ross	NO	NO	D				Brian James Tagtmeier	1	08/07/2017	PoS	36
17-01790	*, *	07/07/2017	01/31/2018	02/22/2018	Wells Fargo Clearing Services LLC	ISC	Noah Levine	AdvisorLaw LLC	NO	NO	G	x	x	x	Merton E. Marks, Esq.	1	08/24/2017	Not	160
17-01800	New York, NY	07/10/2017	03/01/2018	03/13/2018	Smith Asset Management Incorporated	No-show	William Blaine Smith	AdvisorLaw LLC	NO	NO	G		x	x	Sandra Gale Behrle, Esq.	1	01/17/2018	PoS	43
17-01803	Houston, TX	07/10/2017	02/20/2018	04/09/2018	Next Financial Group Incorporated; LPL Financial LLC	ISC	Bryan Keith Kaarlsen	AdvisorLaw LLC	NO	NO	G	x	x	x	Allan R. Lazor, Esq.	1	08/31/2017	PoS	173
17-01811	Salt Lake City, UT	07/10/2017	05/10/2018	05/30/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Gregory S. Golding	AdvisorLaw LLC	NO	OB	G	x	x		Daniel M. Yamshon, Esq.	1	08/25/2017	Not	258
17-01821	*, *	07/11/2017	02/27/2018	03/15/2018	Ameriprise Financial Services Incorporated	ISC	Ryan Raymond Callaway	AdvisorLaw LLC	NO	NO	G	x	x		Philip E. Cutler, Esq.	1	08/24/2017	Not	187
17-01823	*, *	07/11/2017	03/22/2018	04/06/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley & Company LLC	Bressler Amery & Ross (MLPFS); ISC (M&C)	Michael D. Clancy	AdvisorLaw LLC	NO	NO	G		x		James John Jurinski, JD	1	03/14/2018	Not	8
17-01832	New York, NY	07/12/2017	02/01/2018	02/12/2018	Deutsche Bank Securities Incorporated	Paduano & Weintraub	Padraig Kevin McBrien	AdvisorLaw LLC	NO	NO	G		x		Sandra Gale Behrle, Esq.	1		UD	
17-01843	New York, NY	07/13/2017	03/23/2018	04/27/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Avinash Daswani	Herskovits PLLC	NO	OB	G	x	x		Robert E. Anderson, Esq.	1		UD	

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17-01858	San Francisco, CA	07/13/2017	05/22/2018	02/11/2019	First Allied Securities Incorporated	ISC	Virgil John Threlkeld	Barr & Young	NO	NN	G		x		Kevin C. Coleman, JD	1		Dec	
17-01866	Jacksonville, FL	07/14/2017	12/15/2017	01/29/2018	The Investment Center Incorporated	ISC	Jeffrey Scott Heinel	Winget Spadafora & Schwartzberg	NO	NO	G			x	Richard R. Logsdon, Esq. - Chair; Gerald Thomas Harper; Joseph Albert Sharpe	1	10/05/2017	CR	71
17-01888	San Francisco, CA	07/18/2017	12/20/2017	02/26/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Susanna Kim Bracke	Kauff Laton Miller LLP	NO	NO	G	x	x	x	Arocles Aguilar	1	10/23/2017	Not	58
17-01895	Denver, CO	07/18/2017	09/12/2018	09/19/2018	LPL Financial LLC	ISC	David Allen Peterson	AdvisorLaw LLC; HLBS Law	NO	NO	D				Jonathan B. Gilbert, Esq.	1	12/11/2017	Not	275
17-01901	San Francisco, CA	07/18/2017	02/15/2018	04/18/2018	First Montauk Securities Corporation; QA3 Financial Corporation	No-show	Michael Erin Tomren	AdvisorLaw LLC	NO	OB	G/D	x			Joseph M. O'Connor, PE	1	09/19/2017	PoS	149
17-01907	New York, NY	07/19/2017	04/05/2018	04/19/2018	UBS Financial Services Incorporated	ISC	Jason Maxwell Katz	Bressler Amery & Ross	NO	NO	G	x	x		Harvey Barrison, Esq. - Chair; Evdokia Sofos, Esq.; Edward Baer, Esq.	1		UD	
17-01921	Atlanta, GA	07/20/2017	02/02/2018	02/08/2018	Kalos Capital Incorporated	ISC	Daniel Lloyd Wildermuth	Maddin Hauser et al.	NO	NO	G		x		Robert H. Putnam, Jr., Esq.	1	10/25/2017	Not	100
17-01927	Tampa, FL	07/21/2017	01/23/2018	02/14/2018	Ameriprise Financial Services Incorporated	ISC	Michael Douglas Hanke	Burr & Forman	NO	NO	G	x	x	x	John P. Culle, Esq.	1	7/31/2017	Not	176
17-01928	Kansas City, MO	07/21/2017	12/29/2017	01/04/2018	Customers only	Customer	Brent H. Hoffman	Bradley & Riley	NO	NO	G	x		x	Susan L. Walker, Esq. - Chair; Dennis Donald Shrewsbury; Bruce Burditt, CPA	1		Rs	
17-01937	Detroit, MI	07/24/2017	03/28/2018	04/09/2018	LPL Financial LLC; Ameriprise Financial Services Incorporated	ISC	Bradley Clyde Fischer	AdvisorLaw LLC	NO	NO	D				Michael J. Meeusen, Esq.	1	01/29/2018	Not	58
17-01943	Cincinnati, OH	07/24/2017	03/29/2018	04/25/2018	PNC Investments LLC; PNC Capital Markets LLC	Littler Mendelson PC (PNCI); No-show (PNCCM)	Stephen James Fish	AdvisorLaw LLC	NO	NO	G	x			Gregory P. Szuter, Esq.	1	07/31/2017	Not	241
17-01952	New York, NY	07/25/2017	12/19/2017	01/16/2018	UBS Financial Services Incorporated	ISC	Brian Thomas Cain	Bressler Amery & Ross	NO	OB	G	x	x		Brooks White	1	12/08/2017	Not	11
17-01959	Detroit, MI	07/25/2017	04/09/2018	05/12/2018	First Heartland Capital Incorporated	ISC	Jay Duane Hokanson	AdvisorLaw LLC	NO	NO	G/D		x		Tracy L. Allen, Esq.	1	08/02/2017	PoS	250
17-01960	Des Moines, IA	07/26/2017	03/30/2018	04/06/2018	Berthel Fisher & Company Financial Services Incorporated	ISC	John Paul Long	AdvisorLaw LLC	NO	OB	G/D		x		Gerald W. Hepp	1	09/09/2017	PoS	202
17-01973	Manchester, NH	07/26/2017	03/21/2018	03/29/2018	Morgan Stanley DW Incorporated; Wells Fargo Clearing Services LLC	ISC	Gary B. Ghigliotti	AdvisorLaw LLC	NO	NO	G	x	x		James W. (Jim) Geiger	1	12/01/2017	PoS	110
17-01977	New York, NY	07/27/2017	02/13/2018	02/27/2018	Dirks & Company Incorporated	ISC	Eric Michael Earnhardt	AdvisorLaw LLC	NO	NO	G	x	x	x	Brooks White	1	08/18/2017	PoS	179

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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17-01983	Boston, MA	07/27/2017	03/22/2018	03/29/2018	Citigroup Global Markets Incorporated; LPL Financial LLC	Bressler Amery & Ross (CGM); ISC (LPLF)	Regina Ann Bernarduci	AdvisorLaw LLC	NO	NO	G	x	x		Susan E. Maloney, Esq.	1		UD	
17-01999	Tampa, FL	07/28/2017	12/03/2018	01/18/2019	Wells Fargo Advisors Financial Network; Wells Fargo Clearing Services LLC; et al.	ISC; Customer	Nancy Kimball Mellon	None	NO	NO	G	x	x	x	John P. Cullem, Esq.	1		Rs	
17-02009	Dallas, TX	07/28/2017	02/19/2018	03/21/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Christopher D. Cervantes	AdvisorLaw LLC	NO	OB	G	x	x		Joseph Neal Richardson	1	08/10/2017	Not	193
17-02023	New York, NY	07/31/2017	03/16/2018	04/05/2018	Credit Suisse Securities (USA) LLC	ISC	Norman Abraham Epstein	Bressler Amery & Ross	NO	NO	G		x		Lise Gabrielle Hunter, Esq.	2	03/16/2018	Not BLH	0
17-02036	Newark, NJ	08/01/2017	03/01/2018	03/27/2018	Bank of America Investment Services Incorporated	Bressler Amery & Ross	Patrick Kieran Tierney	AdvisorLaw LLC	NO	NO	G	x		x	Robert E. Anderson, Esq.	1	08/18/2017	Not	195
17-02044	*, *	08/01/2017	03/15/2018	04/05/2018	AG Edwards & Sons Incorporated nka Wells Fargo Clearing Services Incorporated	ISC	James Watson Garner	AdvisorLaw LLC	NO	NO	G		x		Michael S. Matek, Esq.	1	08/18/2017	Not	209
17-02059	Newark, NJ	08/03/2017	01/30/2018	02/14/2018	The Investment Center Incorporated	ISC	Louis Tranquilli	Winget Spadafora & Schwartzberg	NO	NO	G	x			Paul Allan Massaro - Chair; Fred S. Pieroni	1		UD	
17-02061	Boston, MA	08/03/2017	04/24/2018	05/16/2018	LaSalle St. Securities LLC	David A. Genelly Ltd.	Paul K. Wong	David A. Genelly Ltd.	NO	NO	G	x	x	x	Robert J. Ambrogi, Esq.	1	02/27/2018	Not	56
17-02070	Los Angeles, CA	08/03/2017	05/02/2018	07/03/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Jenny Chu; Kenneth Gyunam Jo.	Holmes Taylor et al.	NO	NO	G			x	Michael M. Hachigian, Esq. - Chair; Robert Ronne; John Alen DeRosa	2		UD	
17-02089	*, *	08/04/2017	03/19/2018	04/04/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David Anthony Mendoza	AdvisorLaw LLC	NO	OB	G	x	x		Laurel Littman Gothelf, MPH	1	11/30/2017	PoS	109
17-02107	Boston, MA	08/08/2017	03/22/2018	04/11/2018	Moors & Cabot Incorporated; Morgan Stanley DW Incorporated	Pierce & Mandell (M&C); ISC (MSDW)	Richard Joseph Bellew	AdvisorLaw LLC	NO	NN	G/D	x	x		Mary E. Bassett	1		Dec	
17-02150	Minneapolis, MN	08/10/2017	04/03/2018	04/24/2018	Larson Financial Securities LLC	ISC	Anthony Joseph Ferrara	AdvisorLaw LLC	NO	NO	D				Alain Frecon, Esq.	1	01/03/2018	PoS	90
17-02157	New York, NY	08/11/2017	03/27/2018	04/09/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Matthew D. Gold	AdvisorLaw LLC	NO	NO	G	x	x		Madelon M. Rosenfeld, Esq.	1	01/29/2018	PoS	57
17-02162	Los Angeles, CA	08/13/2017	11/06/2017	12/08/2017	UBS Financial Services Incorporated	ISC	Michael David Kanigher	Bressler Amery & Ross	NO	NO	G	x	x		Robert D. Sussin, Esq.	2	10/23/2017	PoS	14
17-02165	Dallas, TX	08/13/2017	12/01/2017	12/15/2017	Oppenheimer & Company Incorporated	ISC	Monda D. Hanna	Bressler Amery & Ross	NO	NO	G	x	x	x	David A. Schuler	1	11/17/2017	PoS	14

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000/2100 Findings			Hrg. Sess.	Notice			
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17-02182	Philadelphia, PA	08/15/2017	06/08/2018	09/10/2018	Oppenheimer & Company Incorporated	ISC	Richard Grobman	Deutsch & Lipner	NO	NO	G			x	Guillermo L. Bosch, Esq. - Chair; David Arthur Christiansen; Sally Cheung	1		UD	
17-02213	New York, NY	08/17/2017	05/23/2018	06/12/2018	Ameriprise Financial Services Incorporated	Chorpenning Good et al.	Todd J. Hubley	Barton LLP	NO	NO	G	x	x		Sam Antar, Esq.	1	01/02/2018	Not	141
17-02216	New York, NY	08/17/2017	05/02/2018	06/07/2018	Morgan Stanley Smith Barney LLC	ISC	Ari Moshe Baum	Hamburger Law Firm	NO	NO	G		x	x	Daniel Robbins, Esq. - Chair; Stephen A. Weiner, Esq.; John Clark Van Steen	1	04/30/2018	Not	2
17-02218	Charlotte, NC	08/17/2017	05/01/2018	05/10/2018	AG Edwards & Sons Incorporated	ISC	Walter Chandler Martin	AdvisorLaw LLC	NO	NO	D				Frank E. Wolf	1		UD	
17-02248	Detroit, MI	08/21/2017	06/06/2018	06/14/2018	Ameriprise Financial Services Incorporated	ISC	Michael Robert Pohlod Jr.	AdvisorLaw LLC	NO	NO	G	x	x	x	Lee Hornberger, JD	1	02/14/2018	PoS	112
17-02256	St. Louis, MO	08/22/2017	02/26/2018	03/16/2018	Larson Financial Securities LLC	No-show	Randall Scott Larson	AdvisorLaw LLC	NO	NO	G	x			Jonathan B. Gilbert, Esq.	1	01/02/2018	PoS	55
17-02257	Kansas City, MO	08/22/2017	05/28/2018	06/12/2018	SII Investments Incorporated	ISC	Jeffrey Worth Ostrander	AdvisorLaw LLC	NO	NO	G/D		x		Michael William Gear	1	05/18/2018	Not	10
17-02260	New York, NY	08/23/2017	05/02/2018	05/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Elizabeth Angelone	AdvisorLaw LLC	NO	OB	G		x		Joseph I. Liebman, Esq.	2	03/27/2018	Not	36
17-02261	New York, NY	08/23/2017	03/27/2018	04/17/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Elizabeth Angelone	AdvisorLaw LLC	NO	NO	G		x		Stephen A. Weiner, Esq.	1		UD	
17-02285	Raleigh, NC	08/25/2017	04/17/2018	05/14/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Frank David Voli	AdvisorLaw LLC	NO	NO	G		x	x	Muriel Desloovere, Esq.	1	02/08/2018	Not	68
17-02295	Jacksonville, FL	08/25/2017	03/14/2018	04/17/2018	Wells Fargo Clearing Services LLC	ISC	Matthew Aaron Turner	AdvisorLaw LLC	NO	NO	G	x	x		Mitchel Weiss, Esq.	1		UD	
17-02323	New York, NY	08/29/2017	12/03/2018	03/15/2019	MML Investors Services LLC	Stevens & Lee	Frank Wong	Malecki Law	NO	NO	G	x	x		Dan Brecher, Esq. - Chair; Simone A. Muscamera, Esq.; Domitilia M. dos Santos, Esq.	2	03/21/2018	OtS	257
17-02329	Los Angeles, CA	08/29/2017	08/06/2018	08/15/2018	Chase Investment Services Corporation	Ulmer & Berne	John Daniel Quinn	AdvisorLaw LLC; HLBS Law	NO	OB	G	x			Robert F. Saint-Aubin, Esq.	1	01/03/2018	Not	215
17-02331	Detroit, MI	08/29/2017	03/06/2018	03/29/2018	Ameriprise Financial Services Incorporated	ISC	Charles Cheng Zhang	Honigman Miller et al.	NO	OB	G	x	x		Patrick R. Sughroue, Esq. - Chair; John F. Burns, Esq.; Stephen D. Arkwright	2		UD	
17-02332	New York, NY	08/30/2017	05/22/2018	06/22/2018	Oppenheimer & Company Incorporated	ISC	Stephen John Seremetis	Herskovits PLLC	NO	OB	G/D		x		Karimu F. Hill-Harvey, Esq.	1	03/04/2018	Not	79
17-02333	Raleigh, NC	08/30/2017	04/17/2018	05/23/2018	JP Turner & Company LLC; Park Avenue Securities LLC	ISC	Dennis Anthony Edmonds	AdvisorLaw LLC	NO	OB	G	x	x		Stuart K. Furman	1		UD	
17-02349	Buffalo, NY	08/31/2017	05/22/2018	06/26/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Todd Raymond Allen	AdvisorLaw LLC	NO	NN	G	x			Tracy L. Allen, Esq.	1		Dec	
17-02359	Los Angeles, CA	08/31/2017	04/20/2018	05/07/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Ralph Michaels Slocum	AdvisorLaw LLC	NO	NO	G		x		George L. Tindall	1	01/15/2018	Not	95

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2130 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-02375	Los Angeles, CA	09/01/2017	02/23/2018	03/26/2018	National Planning Corporation	ISC	Brad Warren Stark	Freeman Mathis & Gary	NO	NO	G	x	x	x	1	Kirtley M. Thiesmeyer, Esq. - Chair; Joseph L. Hagan; Kathleen Smith Adams	02/22/2018	Not	1
17-02392	New York, NY	09/06/2017	05/15/2018	07/05/2018	Joseph Gunnar & Company LLC	John E. Lawlor, Attorney-at-Law	Adam Steven Riback	Wexler Burkhardt et al.	NO	NO	G		x		1	Robert J. Kheel, Esq.	01/09/2018	Not	126
17-02395	Boston, MA	09/06/2017	04/27/2018	08/03/2018	Deutsche Bank Securities Incorporated	Paduano & Weintraub LLP	Brian Patrick Mulvey	AdvisorLaw LLC	NO	OB	G		x		2	Paul A. Auerbach	01/26/2018	Not	91
17-02400	San Francisco, CA	09/06/2017	04/10/2018	06/29/2018	National Planning Corporation; LPL Financial LLC	ISC	Michael David Allard	AdvisorLaw LLC	NO	OB	G		x		1	Philip Aaron Tymon, JD	01/16/2018	Not	84
17-02413	St. Louis, MO	09/07/2017	12/19/2017	12/21/2017	Wells Fargo Clearing Services LLC	ISC	Rita K. Mahn	Moline & Mehan	NO	NO	G	x	x		1	William M. Getzoff, Esq.	12/05/2017	Not	14
17-02414	Boca Raton, FL	09/08/2017	02/21/2018	03/02/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Barry Evan Rubin	Baritz & Colman	NO	NO	G	x	x	x	1	Robert Lawrence Ostrov	02/09/2018	Not	12
17-02416	New York, NY	09/08/2017	06/14/2018	08/01/2018	Lincoln Financial Advisors Corporation	ISC	Jeffrey Steven Cohen; Randy Paul Siller.	Epstein Becker & Green	NO	OB	G/D		x	x	3	Howard D. Jacob, Esq.		UD	
17-02453	Chicago, IL	09/14/2017	05/17/2018	05/31/2018	UBS Financial Services Incorporated	ISC	Paul Tashima; Louis Paster	Bressler Amery & Ross	NO	NO	G	x	x	x	1	Robert S. Sugarman, Esq.	03/16/2018	PoS	62
17-02461	San Francisco, CA	09/15/2017	09/17/2018	03/08/2019	Wells Fargo Clearing Services LLC; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (WFCS)	Bradley Todd Glasman	AdvisorLaw LLC	NO	NO	G/D	x	x		3	Arcoles Aguilar	02/08/2018	Not	221
17-02462	*, *	09/15/2017	03/13/2018	04/06/2018	Hilltop Securities Incorporated	Reif Law Group PC	Bradley Todd Glasman	AdvisorLaw LLC	NO	OB	G		x		1	Thomas D. Reese, Esq.	02/09/2018	Not	32
17-02465	Indianapolis, IN	09/15/2017	06/19/2018	08/13/2018	IFS Securities Incorporated	ISC	Gregory Brian VanWinkle	Ulmer & Berne	NO	NO	G		x	x	1	Carl E. Ver Beek, JD	05/23/2018	PoS	27
17-02468	Columbia, SC	09/18/2017	04/24/2018	05/16/2018	First Allied Securities Incorporated	ISC	Erik Christopher Weir	AdvisorLaw LLC	NO	NO	G/D	x	x		1	Harry G. Mason, JD	01/29/2018	Not	85
17-02469	San Francisco, CA	09/18/2017	07/11/2018	07/30/2018	First Allied Securities Incorporated; Round Hill Securities Incorporated	ISC (FAS); No-show (RHS)	Erik Christopher Weir	AdvisorLaw LLC	NO	NO	G		x	x	1	Ralph A. Cotton, CPA	01/11/2018	Not	181
17-02477	Atlanta, GA	09/19/2017	08/01/2018	08/31/2018	Securities America Incorporated	Eversheds Sutherland (US) LLP	Christopher Jameson Wynne; Lisa Taranto Schiffer; Niraj Nicholas Bhandari; David Shane Austin	Gregory Doyle et al.	NO	NO	G			x	1	James R. McGuone, Esq. - Chair; Jay A. Kaplan; Gary P. Alexander	08/17/2018	PoS	-16

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
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17-02488	Seattle, WA	09/18/2017	05/04/2018	05/21/2018	Wells Fargo Clearing Services LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (WFCS)	Mark Joseph Seto	McDougal Law Group PS	NO	NO	G		x	x	1			UD	
17-02490	*, *	09/19/2017	02/22/2018	03/23/2018	United Planners' Financial Services of America A Limited Partner	ISC	Aaron Brian Graham	AdvisorLaw LLC	NO	NO	G	x	x		1	01/29/2018	PoS	24	
17-02492	San Diego, CA	09/19/2017	03/28/2018	04/24/2018	Berthel Fisher & Company Financial Services Incorporated	ISC	Fred Hamsayeh	AdvisorLaw LLC	NO	NO	G	x	x		1	01/29/2018	Not	58	
17-02503	Newark, NJ	09/20/2017	04/10/2018	05/31/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Amanda Beth Glanz	AdvisorLaw LLC	NO	NO	G		x		1	03/20/2018	Not	21	
17-02512	Boston, MA	09/21/2017	05/21/2018	07/09/2018	NyLife Securities LLC	Morgan Lewis & Bockius	Dustin Tylor Aiguier	AdvisorLaw LLC	OB	OB	G/D		x		4		UD		
17-02517	Boca Raton, FL	09/21/2017	04/12/2018	04/30/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Tara Ashley Sanders	AdvisorLaw LLC	NO	NO	G		x	x	1	03/16/2018	Not	27	
17-02518	Miami, FL	09/21/2017	02/23/2018	03/05/2018	Customers only	Customer	Annick Iwanowski	Bressler Amery & Ross	NO	NO	G	x	x		1		Rs		
17-02527	*, *	09/21/2017	03/19/2018	03/28/2018	Morgan Stanley	ISC	Rafael Antonio De Vengoechea	AdvisorLaw LLC	NO	NO	G		x		1	02/15/2018	Not	32	
17-02530	*, *	09/21/2017	02/27/2018	03/09/2018	Morgan Peabody Incorporated	ISC	Michael Lazari Karapetian	AdvisorLaw LLC	NO	NO	G	x			1	01/25/2018	Not	33	
17-02532	Detroit, MI	09/22/2017	11/16/2017	11/27/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Kenneth J. Wise	Bressler Amery & Ross	NO	NO	G		x		1	11/03/2017	PoS	13	
17-02535	Las Vegas, NV	09/22/2017	04/13/2018	04/19/2018	Wells Fargo Advisors Financial Network LLC	ISC	Mitchell Dean Horst	AdvisorLaw LLC	NO	UN	D				1		UN		
17-02539	Chicago, IL	09/22/2017	02/21/2018	03/16/2018	Mesirow Financial Incorporated	ISC	Norman David Schlisman	Jenks & Harvey	NO	NO	G		x		1		CNF		
17-02544	Louisville, KY	09/22/2017	11/17/2017	11/21/2017	UBS Financial Services Incorporated	ISC	Tracy Smith King	Bressler Amery & Ross	NO	NO	G		x	x	1	11/03/2017	PoS	14	
17-02577	Pittsburgh, PA	09/27/2017	03/13/2018	04/02/2018	AG Edwards & Sons Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (AGE&S)	Girish Shrinivas Thakar	AdvisorLaw LLC	NO	NO	G	x	x	x	1	10/28/2017	CR	136	
17-02597	Los Angeles, CA	09/28/2017	05/23/2018	05/30/2018	Centaurus Financial Incorporated; First Allied Securities Incorporated	ISC	Peter C. Han	AdvisorLaw LLC	NO	NO	G	x	x		1	02/16/2018	Not	96	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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17-02636	Philadelphia, PA	10/03/2017	05/09/2018	07/23/2018	Infinex Investments Incorporated; Wells Fargo Clearing Services LLC; First Union Brokerage Services Incorporated	Kaufman Dolowich & Volack (II); ISC (WFCS, FIBS)	Jason McTeague Scheurer	AdvisorLaw LLC	NO	UN	D				Gordon M. Wase, Esq.	2		UN	
17-02642	*, *	10/03/2017	03/09/2018	03/19/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Royce Bergman; Glen Titan	Law Office of Patrick R. Mahoney	NO	NO	G	x	x	x	Elliott David Finkel, Esq.	1	02/22/2018	PoS	15
17-02652	Milwaukee, WI	10/04/2017	04/27/2018	05/21/2018	Lincoln Financial Advisors Corporation	ISC	Andrew Thompson Seaborg	AdvisorLaw LLC	NO	NO	G	x	x		Susan L. Walker, Esq.	1	03/19/2018	Not	39
17-02664	Boca Raton, FL	10/04/2017	06/14/2018	06/25/2018	Customers only	Customer	Nelson Frederick Faro	Bressler Amery & Ross	NO	NO	G	x	x		Kimberly A. Gilmour, Esq.	1		Rs	
17-02666	Milwaukee, WI	10/04/2017	08/27/2018	08/31/2018	National Planning Corporation	ISC	James Steinbrenner	Vanasco Genelly & Miller	NO	NO, UN	D				Rody P. Biggert, Esq. - Chair; Danielle Lea Carne; Bryan K. Nestor, MBA	1		UN	
17-02672	Providence, RI	10/05/2017	03/02/2018	03/15/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Crowe & Dunlevy	Beth Murray	Bressler Amery & Ross	NO	OB	G	x			Robert E. Anderson, Esq.	1	02/12/2018	Not	18
17-02679	Houston, TX	10/24/2017	03/14/2019	06/10/2019	JP Turner & Company LLC	ISC	Michael Laurence DiGaetano	AdvisorLaw LLC	NO	NO	G		x		Thomas A. Martin, Esq.	1	03/30/2018	Not	349
17-02743	Birmingham, AL	10/11/2017	05/07/2018	05/10/2018	Morgan Stanley & Company LLC	ISC	Michael Charles Warr	AdvisorLaw LLC	NO	NO	G		x		Lita S. Menkin, JD	1	02/09/2018	Not	87
17-02746	Chicago, IL	10/11/2017	05/14/2018	06/04/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Jeffrey Brian Mackevich	AdvisorLaw LLC	NO	NO	G	x	x		Theodore W. Wroblewski, Esq.	1	03/27/2018	Not	48
17-02748	Indianapolis, IN	10/11/2017	10/09/2018	01/22/2019	National Planning Corporation	ISC	Charles Ceasar Werckenthien	AdvisorLaw LLC	NO	NN	G	x			Charles Orlove	1	09/06/2018	Not	33
17-02749	Dallas, TX	10/11/2017	05/17/2018	07/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	John Alfred Ledford	Berry Odom LLP	NO	NO	G		x		Robert J. Gregory	1	04/10/2018	Not	37
17-02753	New York, NY	10/12/2017	03/15/2018	04/20/2018	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Frank Julio Carrasco; Aishka Lugo	Bressler Amery & Ross	NO	NO	G	x	x		Paul S. Biederman	1		UD	
17-02757	Phoenix, AZ	10/12/2017	05/08/2018	10/22/2018	Centaurus Financial Incorporated	ISC	James Michael Poindexter	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		Marc Kalish, JD	2	04/11/2018	Not	27
17-02758	Denver, CO	10/12/2017	05/07/2018	05/18/2018	Customers only	Customer	Paul James Garrett	Meyer Law Group	OB	OB	G		x		Michael S. Matek, Esq. - Chair; Eileen Joan Carpenter; William A. Stephenson	1		Rs	
17-02762	Washington, DC	10/13/2017	05/16/2018	05/24/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Francis Macielag	AdvisorLaw LLC	NO	NO	G		x		Jane C. Carney, CPA	1		UD	
17-02763	Wilmington, DE	10/13/2017	03/12/2018	03/27/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Francis Macielag	AdvisorLaw LLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	02/22/2018	Not	18

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
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17-02767	Seattle, WA	10/13/2017	05/01/2018	07/16/2018	Wells Fargo Clearing Services LLC	ISC	Rebecca Rose Stay	AdvisorLaw LLC	NO	NO	G	x	x		Michael Lancaster Garcia	1	03/19/2018	Not	43
17-02798	Washington, DC	10/18/2017	02/22/2018	06/15/2018	Ameriprise Financial Services Incorporated; UBS Financial Services Incorporated	ISC	David Louis Levine	Bressler Amery & Ross	NO	NO	G	x	x	x	Douglas Earl McLaren, Esq.	2		UD	
17-02844	New York, NY	10/24/2017	02/13/2018	02/26/2018	JP Morgan Securities LLC	ISC	Michael George Ferguson	AdvisorLaw LLC	NO	NO	G		x	x	Paul S. Biederman	1		UD	
17-02854	Dallas, TX	10/24/2017	03/14/2018	03/29/2018	Hilltop Securities Incorporated	Jackson Walker LLP	Kent Roger Snodgrass	Berry Odom LLP	NO	NO	G	x	x	x	Jeff Howard Abrams	1	02/28/2018	Not	14
17-02858	Seattle, WA	10/25/2017	04/26/2018	05/04/2018	Pacific West Securities Incorporated	ISC	James Leroy Black	Ryan Swanson & Cleveland	NO	OB	D				William J. Bender, Esq.	1		UD	
17-02863	New York, NY	10/26/2017	06/06/2018	07/02/2018	MSI Financial Services Incorporated	Stevens & Lee	Donald Richard Hehir	AdvisorLaw LLC	NO	NO	G		x		Anna Lascar	1	03/27/2018	PoS	71
17-02872	Philadelphia, PA	10/27/2017	05/14/2018	06/13/2018	American Eagle Investments Incorporated	No-show	Allen Robert Rosenberg	AdvisorLaw LLC	NO	NO	G		x	x	Diane Ciccone, Esq.	1	04/10/2018	Not	34
17-02877	New York, NY	10/27/2017	01/17/2018	02/08/2018	UBS Financial Services Incorporated	ISC	Eric Scott Bodner; Benjamin Stephen Sax	Bressler Amery & Ross	NO	NO	G/D	x	x	x	William James Cortellessa	1	01/15/2018	PoS	2
17-02881	San Juan, PR	10/26/2017	07/17/2018	09/13/2018	Santander Securities LLC	Pietrantonio Mendez & Alvarez	Marko Andres Rendic	AdvisorLaw LLC	NO	NO	G	x		x	Stuart K. Furman	1	05/22/2018	Not	56
17-02891	Los Angeles, CA	10/27/2017	01/12/2018	01/27/2018	UBS Financial Services Incorporated	ISC	Dan Michael Gallagher	Bressler Amery & Ross	NO	NO	G	x	x		David J. Anderson	1	12/26/2017	PoS	17
17-02925	New York, NY	10/31/2017	04/11/2018	05/10/2018	First Montauk Securities Corporation; Josephthal & Company Incorporated; National Securities Corporation	ISC	Michael Fasciglione	FA Expungement LLC	NO	OB	G		x	x	Jack Friedman, Esq.	2		UD	
17-02931	Denver, CO	10/31/2017	05/02/2018	05/21/2018	Charles Schwab & Company Incorporated	ISC	Shawn Anthony Rogers	FA Expungement LLC	NO	NO	G	x	x		Anita Rae Shapiro, Esq.	1	03/16/2018	Not	47
17-02932	New York, NY	11/01/2017	05/21/2018	06/15/2018	National Securities Corporation	ISC	Mark Sam Kolta	FA Expungement LLC	NO	NO	G	x	x		Veronica Ann Williams	1		UD	
17-02935	Phoenix, AZ	11/01/2017	04/02/2018	05/03/2018	Commonwealth Financial Network	No-show	Rebecca Susan Kennell	FA Expungement LLC	NO	NN	G	x			W. Michael Kelley, Esq.	1		Dec	
17-02953	Wilmington, DE	11/02/2017	04/30/2018	06/06/2018	MML Investor Services LLC; Horner Townsend & Kent Incorporated; Equity Services Incorporated	Winget Spadafora & Schwartzberg (ES); Leake & Anderson (HT&K); Stevens & Lee (MMLIS)	Michael Patrick Butterworth	Roland Stock LLC	OB	NO, NN	G	x	x		Edward Blumstein, Esq. - Chair; Louis H. Miron, Esq.; Glenn J. Hansen, CFP	1		CNF	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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17-02976	Dallas, TX	11/03/2017	12/15/2017	12/26/2017	UBS Financial Services Incorporated	ISC	Michael A. Sabota	Bressler Amery & Ross	NO	NO	G	x			1	C. Sumpster Logan	12/01/2017	PoS	14
17-02982	Cincinnati, OH	11/06/2017	06/28/2018	07/31/2018	Barclays Capital Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (BC)	Shaun Perry Nicholson	AdvisorLaw LLC	NO	OB	G/D		x		2	Julius Z. Frager	04/06/2018	Not	83
17-02985	Salt Lake City, UT	11/06/2017	05/21/2018	05/30/2018	Raymond James Financial Services Incorporated	ISC	Aaron Brian Graham	AdvisorLaw LLC	NO	NO	G	x	x	x	1	Mary Margaret Bush, Esq.	03/06/2018	PoS	76
17-02988	Charlotte, NC	11/07/2017	06/28/2018	07/12/2018	AG Edwards & Sons Incorporated	ISC	Kerry Alan Stinman	AdvisorLaw LLC	NO	UN	D				1	Douglas Earl McLaren, Esq.			
17-02993	Kansas City, MO	11/07/2017	04/24/2018	05/22/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Richard Joseph Homuth	AdvisorLaw LLC	NO	OB	G	x	x		1	John R. Loss, Esq.	03/07/2018	Not	48
17-03006	Los Angeles, CA	11/02/2017	09/11/2018	09/25/2018	JP Turner & Company LLC; et al.	ISC; Customer	Robert Joseph Binkele	R. Craig Zafis APC	NO	NO	G	x	x		1	Constance Ellen Boukidis		Rs	
17-03011	Indianapolis, IN	11/09/2017	07/03/2018	07/23/2018	Transamerica Financial Advisors Incorporated	ISC	Roy Matthew Strong	AdvisorLaw LLC	NO	NO	G/D		x		1	Thomas F. Mahoney, Esq.	05/15/2018	Not	49
17-03018	Minneapolis, MN	11/09/2017	07/10/2018	08/07/2018	Securities America Incorporated; LPL Financial LLC	ISC	Sean Patrick McDermott	AdvisorLaw LLC	NO	UN	D				1	Peter N. Thompson		UN	
17-03020	Hartford, CT	11/10/2017	07/13/2018	07/30/2018	Wells Fargo Clearing Services LLC	ISC	Kevin Francis Sullivan	AdvisorLaw LLC	NO	NO	G		x		1	Robert B. Titus		UD	
17-03022	Birmingham, AL	11/10/2017	04/02/2018	04/09/2018	LPL Financial LLC	ISC	Gregory Ray Powell	Bressler Amery & Ross	NO	NO	G	x			1	Harvey R. Linder, Esq.	02/20/2018	Not	41
17-03028	New York, NY	11/12/2017	02/21/2019	03/14/2019	Newedge USA LLC	Schiff Hardin LLP	Michael Marc Liciardello	None	NO	NO	G			x	1	Joseph J. Arata, Esq. - Chair; William G. Binckes, Esq.; Charles L. Henderson, Esq.	02/13/2019	CR	8
17-03045	Tampa, FL	11/13/2017	06/20/2018	07/18/2018	MSI Financial Services Incorporated	ISC	Eric Todd Harris	AdvisorLaw LLC	NO	NO	G/D	x			1	Martin M. Van Luven	05/23/2018	Not	28
17-03061	Philadelphia, PA	11/14/2017	09/19/2018	10/24/2018	Wells Fargo Clearing Services LLC	ISC	Allen Robert Rosenberg	AdvisorLaw LLC; HLBS Law	NO	OB	G		x		1	Diane Ciccone, Esq.	04/12/2018	Not	160
17-03064	Dallas, TX	11/14/2017	04/25/2018	04/30/2018	MML Investors Services LLC	Stevens & Lee	Audrey Sreshta	Ronald P. Wright, Attorney-at-Law	NO	NO, UN	D				1	Patricia Beaujean Lehtola, Esq.		UN	
17-03083	Los Angeles, CA	11/15/2017	06/14/2018	06/26/2018	UBS Financial Services Incorporated	Keesal Young & Logan	John Charles Adams	AdvisorLaw LLC	NO	NO	G	x	x		1	Yvonne Brathwaite Burke	03/06/2018	PoS	100
17-03085	Dallas, TX	11/15/2017	07/20/2018	08/08/2018	Raymond James & Associates Incorporated	ISC	Larry Carlton Milton	AdvisorLaw LLC	NO	NO	D				1	Robert J. Gregory	06/14/2018	Not	36
17-03089	Newark, NJ	11/16/2017	06/25/2018	07/17/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Bernard Paul Martin Jr.	AdvisorLaw LLC	NO	NO	G		x		1	Michael H. DuBoff, Esq.	04/25/2018	Not	61

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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																			Before First Hearing
17-03091	Philadelphia, PA	11/16/2017	07/09/2018	07/27/2018	Morgan Stanley; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (MSSB)	Frank William Esposto	AdvisorLaw LLC	NO	NO	G	x	x	x	1		UD		
17-03107	San Diego, CA	11/17/2017	06/12/2018	06/19/2018	AXA Advisors LLC	No-show	Daniel Eathan Dodgen	Law Office of Patrick R. Mahoney	NO	NO	D				1	04/03/2018	Not	70	
17-03116	Syracuse, NY	11/20/2017	05/16/2018	05/24/2018	Cambridge Investment Research Incorporated	ISC	Michael Edward Chadwick	AdvisorLaw LLC	NO	NO	G		x		1		UD		
17-03119	Dallas, TX	11/20/2017	01/03/2018	01/05/2018	UBS Financial Services Incorporated	ISC	Michael C. Seamands	Bressler Amery & Ross	NO	NO	G	x	x		1	12/27/2017	PoS	7	
17-03122	Baltimore, MD	11/20/2017	05/02/2018	05/14/2018	AXA Advisors LLC	ISC	James Kelly Biggar; Thomas Joseph Graham	Ghabai Law Group LLC	NO	NO	G	x	x	x	1		UD		
17-03142	Las Vegas, NV	11/21/2017	06/05/2018	06/12/2018	Wells Fargo Advisors LLC	ISC	Edward Anthony Montanez Jr.	AdvisorLaw LLC	NO	NO	G	x			1	04/13/2018	Not	53	
17-03143	Cincinnati, OH	11/21/2017	05/14/2018	05/21/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Thomas E. Lieser	Carlile Patchen & Murphy	NO	NO	G	x	x	x	1	03/23/2018	Not	52	
17-03144	Milwaukee, WI	11/21/2017	08/07/2018	10/18/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Lashell Louise Lentz	AdvisorLaw LLC	NO	NO	D				2	04/25/2018	Not	104	
17-03155	New York, NY	11/22/2017	07/16/2018	07/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Peter Nicholas Inserra	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
17-03156	New York, NY	11/22/2017	10/09/2018	10/26/2018	Chase Investment Services Corporation; JP Morgan Securities LLC	Satterlee Stephens LLP	Jason Grady Sanders	Kauff Laton Miller LLP	NO	NO	G	x	x		1	08/30/2018	Not	40	
17-03160	San Juan, PR	11/22/2017	06/25/2018	07/06/2018	Santander Securities LLC	Pietrantoni Mendez & Alvarez	Marko Andres Rendic	AdvisorLaw LLC	NO	NO	G	x		x	1	06/06/2018	PoS	19	
17-03169	Kansas City, MO	11/27/2017	06/26/2018	07/17/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Richard Joseph Homuth	AdvisorLaw LLC	NO	OB	G	x	x		1	04/10/2018	Not	77	
17-03184	Chicago, IL	11/27/2017	07/02/2018	08/07/2018	Cetera Advisor Networks LLC	ISC	Timothy Carlin McCabe; Thomas Edmund Wojcik	Ulmer & Berne	NO	UN	D				1		UN		
17-03188	Newark, NJ	11/28/2017	04/20/2018	04/25/2018	Kestra Investment Services LLC	ISC	Kevin Douglass Ellman; Paul David Miller	Freeman Freeman & Smiley	NO	NO	G	x	x		1		UD		
17-03192	Providence, RI	11/29/2017	07/11/2018	08/06/2018	NyLife Securities LLC	Morgan Lewis & Bockius	Michael Thomas Damon	AdvisorLaw LLC	OB	OB	G/D	x	x		1	04/20/2018	Not	82	
17-03199	New York, NY	11/29/2017	08/07/2018	08/28/2018	Hornblower & Weeks Incorporated	No-show	Kevin Andrew Golden	AdvisorLaw LLC	NO	NN	G		x		1		CNF		

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												Factually Impossible or Clearly Erroneous	False Claim	Not Involved			Date	Detail	Days
17-03202	Los Angeles, CA	11/29/2017	06/18/2018	07/12/2018	Morgan Stanley & Company LLC	ISC	Lisa Ann Detanna	Rahn Muntz O'Grady LLP	NO	NO	G		x		Benjamin F. Breslauer	1	06/01/2018	Not	17
17-03205	Kansas City, MO	11/29/2017	06/28/2018	07/19/2018	Cambridge Investment Research Incorporated	ISC	David Max Garrison	AdvisorLaw LLC	NO	NO	G	x			Jonathan B. Gilbert, Esq.	1	03/19/2018	Not	101
17-03218	New York, NY	11/30/2017	06/12/2018	07/11/2018	Prudential Equity Group LLC	Law Offices of Alan S. Broderson	Brian Arthur Marzulli	Lubiner Schmidt & Palumbo	NO	NO	G	x			Joseph H. Cerame, Esq.	1	05/11/2018	Not	32
17-03241	Hartford, CT	12/04/2017	06/11/2018	07/10/2018	UBS Financial Services Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Samuel Phillip Belsito	HLBS Law	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	05/23/2018	PoS	19
17-03259	Phoenix, AZ	12/05/2017	05/23/2018	06/06/2018	MML Investors Services LLC	Stevens & Lee	Darren Jay Wright	FA Expungement LLC	NO	NO	D				Jerry H. Friedland, Esq.	1	05/18/2018	PoS	5
17-03271	Las Vegas, NV	12/06/2017	07/26/2018	08/08/2018	Wells Fargo Investments LLC	ISC	Edward Anthony Montanez Jr.	AdvisorLaw LLC	NO	NO	G		x		Erik R. Siering	1	06/06/2018	Not	50
17-03273	New York, NY	12/06/2017	03/19/2018	03/29/2018	Citigroup Global Markets Incorporated	ISC	Mallory Weil Brenner	Bressler Amery & Ross	NO	NO	G		x		Stephen A. Weiner, Esq.	1	02/12/2018	PoS	35
17-03288	Tampa, FL	12/07/2017	05/31/2018	06/13/2018	MSI Financial Services Incorporated	ISC	Eric Todd Harris	AdvisorLaw LLC	NO	OB	G		x		Edith N. Dinneen, Esq.	1	04/11/2018	PoS	50
17-03295	Oklahoma City, OK	12/07/2017	06/12/2018	07/13/2018	Hilltop Securities Independent Network Incorporated	Jackson Walker LLP	William Wallace Wolfe II	AdvisorLaw LLC	NO	NO	G	x		x	Sherry R. Wetsch, Esq.	2	03/30/2018	Not	74
17-03308	Boca Raton, FL	12/08/2017	06/26/2018	07/11/2018	Edward Jones	Law Office of Joseph D'Elia	Robert Anderson	Amato Law Firm LLC	NO	NO	G		x		Linda M. Foster-Wells	1	06/06/2018	Not	20
17-03347	Chicago, IL	12/12/2017	05/03/2018	06/08/2018	UBS Financial Services Incorporated	ISC	Laurie Barry	Bressler Amery & Ross	NO	NN	G	x	x	x	Lynn Hirschfeld Brahin, Esq.	1	04/13/2018	PoS	20
17-03354	Indianapolis, IN	12/13/2017	09/10/2018	10/24/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	James Robert Schrader	AdvisorLaw LLC	NO	NO	G	x			Tracy L. Allen, Esq.	1	06/06/2018	Not	96
17-03355	Minneapolis, MN	12/13/2017	10/29/2018	11/15/2018	Piper Jaffray & Company	ISC	Charles Edward Duddingston	AdvisorLaw LLC	NO	NO	G	x	x		Brett W. Olander, Esq.	1	09/26/2018	Not	33
17-03356	Indianapolis, IN	12/13/2017	06/26/2018	07/09/2018	Northwestern Mutual Investment Services LLC	ISC	Randall Todd Lehman	AdvisorLaw LLC	NO	NN	G		x		Thomas F. Mahoney, Esq.	1		Dec	
17-03357	Tampa, FL	12/13/2017	07/09/2018	08/03/2018	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Scott George Pinkerton	AdvisorLaw LLC	NO	NO	G/D	x	x		Richard S. Zaifert, Esq.	1		UD	
17-03361	Philadelphia, PA	12/13/2017	06/28/2018	07/18/2018	Pruco Securities LLC	Law Offices of Alan S. Broderson	Mark Steven Kruman	AdvisorLaw LLC	NO	NO	G	x	x		Guillermo L. Bosch, Esq.	1		UD	
17-03365	Des Moines, IA	12/13/2017	08/21/2018	08/31/2018	VSR Financial Services Incorporated	ISC	William Bemis Elson	AdvisorLaw LLC; HLBS Law	NO	OB	D				Michael William Gear	1	08/15/2018	CR	6

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												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-03366	Los Angeles, CA	12/13/2017	06/05/2018	06/21/2018	Royal Alliance Associates Incorporated; et al.	No-show (RAA); Customer	Larry Steven Erlichman	Jones Bell et al.	NO	NO	G	x	x	x	1	Robert D. Sussin, Esq. - Chair; Morris S. Getzels, Esq.; Robert Edward Koondel		Rs	
17-03367	Tampa, FL	12/14/2017	07/12/2018	08/01/2018	MSI Financial Services Incorporated	ISC	Eric Todd Harris	AdvisorLaw LLC	NO	NO	G	x	x		1	Richard R. Logsdon, Esq.		UD	
17-03370	Raleigh, NC	12/14/2017	06/05/2018	07/05/2018	Edward Jones & Company Limited Partnership	Law Office of Joseph D'Elia	Richard N. Fisher, Jr.	Ghabai Law Group LLC	NO	NO	G	x	x		1	Jack A. Helms	04/19/2018	Not	47
17-03379	Boca Raton, FL	12/15/2017	08/15/2018	09/05/2018	RBC Capital Markets LLC	Wland Guerra King PA	Collin Andrew Meyer	Bressler Amery & Ross	NO	NO	G	x	x	x	1	Mark Allen Bilawsky	06/25/2018	PoS	51
17-03388	New York, NY	12/15/2017	07/18/2018	08/16/2018	Securities America Incorporated	ISC	Marc L. Scudillo	AdvisorLaw LLC	NO	NO	G		x		2	Stephen A. Weiner, Esq.		UD	
17-03397	New York, NY	12/18/2017	06/11/2018	07/17/2018	National Securities Corporation; Continental Broker-Dealer Corporation	ISC	Michael Anthony Schiavello	FA Expungement LLC	NO	NO	G	x	x	x	1	William E. Nuckel	06/07/2018	PoS	4
17-03415	Portland, OR	12/18/2017	02/14/2019	02/27/2019	Ameriprise Financial Services Incorporated	ISC	Daniel John Ruediger	AdvisorLaw LLC	NO	OB	D				1	Katherine H. O'Neil, Esq.	04/25/2018	Not	295
17-03416	Boston, MA	12/19/2017	06/19/2018	07/06/2018	Morgan Stanley Smith Barney LLC	ISC	Brian Paul MacKinnon; Timothy Paul MacKinnon	Law Offices of Kenneth Meister	NO	NN	G	x	x	x	1	Susan E. Maloney, Esq. - Chair; Michael P. Anciello; Patrick W. McKeon, Esq.		NSR	
17-03421	Milwaukee, WI	12/19/2017	08/01/2018	08/27/2018	LPL Financial LLC	ISC	Brian David Behl	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		1	Tracy L. Allen, Esq.	07/03/2018	Not	29
17-03424	New York, NY	12/19/2017	12/10/2018	01/18/2019	Deutsche Bank Securities Incorporated	Paduano & Weintraub	Joseph Mitchell Cothron	AdvisorLaw LLC	NO	NO	G	x	x		1	William G. Binckes, Esq.		UD	
17-03445	Los Angeles, CA	12/21/2017	09/07/2018	09/24/2018	Wells Fargo Clearing Services LLC	ISC	Thomas George Sandkamp	AdvisorLaw LLC	NO	OB	D				1	Kendall C. Reed, Esq.	07/11/2018	Not	58
17-03450	Minneapolis, MN	12/21/2017	07/16/2018	08/09/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Thomas John Brandt	AdvisorLaw LLC	NO	NO	G	x			1	Thomas J. Gmeinder, Esq.	05/30/2018	Not	47
17-03462	New York, NY	12/22/2017	04/15/2019	05/13/2019	Securities America Incorporated; 1st Global Capital Corporation	ISC	Marc L. Scudillo	AdvisorLaw LLC	NO	OB	G		x		4	Howard L. Sobel		UD	
17-03471	Phoenix, AZ	12/22/2017	07/24/2018	08/13/2018	Piper Jaffray & Company; UBS Financial Services Incorporated	Keesal Young & Logan (UBSFS); ISC (PJ)	Michael W. Butt	AdvisorLaw LLC	NO	NO	G	x		x	1	Merton E. Marks, Esq.	05/03/2018	Not	82
17-03473	San Juan, PR	12/22/2017	07/11/2018	08/06/2018	Oriental Financial Services Corporation	ISC	Clara Isabel Fernandez Colorado	Delgado & Fernandez	NO	NO	G	x	x		1	Seth L. Finkel, Esq. - Chair; Ricardo Aponte-Parsi; Roberto Olson Cortes	07/09/2018	Not	2
17-03489	Atlanta, GA	12/27/2017	06/05/2018	07/09/2018	Customers only	Customer	Adil Ramzan Ali	Murphy & Anderson	NO	NO	G	x	x		1	Harvey R. Linder, Esq.		Rs	

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17-03499	Detroit, MI	12/28/2017	08/07/2018	09/10/2018	Transamerica Financial Advisors Incorporated	Honigman Miller et al.	Kevin Mark Nast	AdvisorLaw LLC	NO	OB	G		x		1	06/07/2018	PoS	61	
17-03500	New York, NY	12/28/2017	07/11/2018	07/30/2018	First Asset Management Incorporated; Morgan Stanley DW Incorporated	ISC (MSDW); No-show (FAM)	Andrew Evan Samalin	AdvisorLaw LLC	NO	NO	G	x			1	05/17/2018	Not	55	
17-03506	Phoenix, AZ	12/28/2017	09/06/2018	09/19/2018	Piper Jaffray & Company	ISC	Michael W. Butt	AdvisorLaw LLC	NO	NO	G		x		1	07/27/2018	Not	41	
18-00020	Des Moines, IA	12/29/2017	08/28/2018	08/30/2018	FSC Securities Corporation; VSR Financial Services Incorporated	ISC	Marlis Ann Gilbert	AdvisorLaw LLC; HLBS Law	NO	NO	D				1	05/29/2018	Not	91	
18-00022	New York, NY	12/29/2017	11/15/2018	01/30/2019	Wells Fargo Clearing Services LLC	ISC	Stephen Caruso	Malecki Law	NO	NO	G	x	x		2	06/11/2018	OtS	157	
18-00029	Buffalo, NY	01/02/2018	08/14/2018	09/14/2018	Keybanc Capital Markets Incorporated	Ulmer & Berne	Charles Joseph LaRocco	AdvisorLaw LLC	OB	NO	D				1	06/13/2018	PoS	62	
18-00034	Seattle, WA	01/02/2018	07/24/2018	09/13/2018	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Law Offices of Alan S. Brodherson (PEG); Snell & Wilmer (WFCS)	Douglas J. Donnelly	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	1	06/15/2018	Not	39	
18-00053	Minneapolis, MN	01/04/2018	10/10/2018	10/26/2018	Lincoln Financial Advisors Corporation	ISC	Mark Owen Stephan	AdvisorLaw LLC	NO	NO	G		x		1	09/10/2018	Not	30	
18-00069	Philadelphia, PA	01/08/2018	01/03/2019	01/30/2019	Capital Strategies Limited	ISC	Bart Steven Kaplow	AdvisorLaw LLC	NO	NN	G/D	x	x	x	1		Dec		
18-00086	Albuquerque, NM	01/08/2018	06/29/2018	09/13/2018	Wells Fargo Advisors LLC aka Wells Fargo Clearing Services LLC	ISC	John Mark Ross	Moulton Wilson & Arney	NO	NO	G		x		2	06/08/2018	PoS	21	
18-00092	Los Angeles, CA	01/09/2018	11/13/2018	12/24/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Ariel Bobroff; Gary Robert Davis; William Alexander Tarrab	AdvisorLaw LLC	NO	NO	G	x	x		1	10/08/2018	Not	36	
18-00094	San Francisco, CA	01/09/2018	02/05/2019	02/13/2019	Hilltop Securities Incorporated	Reif Law Group	Bradley Todd Glasman	HLBS Law	UK	OB	D				1	12/13/2018	Not	54	
18-00098	St. Louis, MO	01/09/2018	07/17/2018	07/20/2018	LPL Financial LLC	ISC	George Robert Meyer	Ghabai Law Group LLC	NO	NO	G	x	x		1	05/15/2018	PoS	63	
18-00107	Wilmington, DE	01/10/2018	09/06/2018	09/10/2018	Ameriprise Financial Services Incorporated	ISC	James Harold Lee	AdvisorLaw LLC	NO	OB	G	x	x		1	08/03/2018	Not	34	
18-00116	Washington, DC	01/10/2018	08/01/2018	08/20/2018	Morgan Stanley Smith Barney LLC	ISC	Thomas W. Howes	None	NO	NO	G		x		1		UD		
18-00123	Oklahoma City, OK	01/10/2018	09/12/2018	09/28/2018	Ameriprise Financial Services Incorporated	ISC	Gregory Sean Hester	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	08/13/2018	Not	30	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
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18-00129	San Francisco, CA	01/11/2018	09/27/2018	10/17/2018	Morgan Stanley & Company LLC	ISC	Sandra I-Hsien Wang	AdvisorLaw LLC	NO	NO	G	x	x		Ralph A. Cotton, CPA	1	09/07/2018	Not	20
18-00134	Washington, DC	01/11/2018	10/23/2018	11/02/2018	Lincoln Financial Securities Corporation	ISC	Marc Scott Schliefer	AdvisorLaw LLC	NO	NO	G	x	x		Douglas Earl McLaren, Esq.	1		UD	
18-00139	San Francisco, CA	01/11/2018	11/05/2018	12/06/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Keith Douglas Seibert	AdvisorLaw LLC	NO	NO	G	x	x		William W. Haskell, Esq.	1	08/23/2018	Not	74
18-00152	Los Angeles, CA	01/12/2018	06/20/2018	07/05/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Shawn Shyama Patt.	None	NO	NO	G		x		Robert Rosen - Chair; Howard Clark Posner; David Maurer, Esq.	1	06/18/2018	PoS	2
18-00154	Newark, NJ	01/12/2018	11/27/2018	01/04/2019	SII Investments Incorporated	ISC	Gregory Jay Chebuske	AdvisorLaw LLC	NO	NO	G	x	x		Louis H. Miron, Esq.	2		UD	
18-00159	San Juan, PR	01/12/2018	06/19/2018	06/28/2018	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC; Bressler Amery & Ross	Jose E. Chaves	Toro Colon et al.	NO	NO	G	x	x	x	Louis David Huss	1	05/07/2018	OtS	43
18-00170	Boston, MA	01/16/2018	10/11/2018	12/03/2018	New England Securities	ISC	Gregory Jay Chebuske	AdvisorLaw LLC	NO	NN	G	x	x		Denise L. Presley, Esq.	1		Dec	
18-00174	Charlotte, NC	01/16/2018	08/28/2018	10/05/2018	Morgan Stanley Smith Barney LLC	ISC	John G. Scott Jr.	Fisher & Phillips	NO	NO	G			x	Michael J. Ahlstrom, Esq.	1	07/19/2018	Not	40
18-00175	Detroit, MI	01/16/2018	10/02/2018	10/23/2018	Citigroup Global Markets Incorporated; Wells Fargo Advisors Financial Network LLC	Bressler Amery & Ross (CGM); ISC (WFAFN)	Jeffrey Fratarcangeli	Shumaker Loop & Kendrick	NO	NO	G		x		Patrick R. Sughroue, Esq. - Chair; Robert J. Scafuri, Esq.; William C. Kubiz, Esq.	1	09/04/2018	Not	28
18-00178	Boston, MA	01/16/2018	11/12/2018	12/07/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mary Brigid Mullin	AdvisorLaw LLC	NO	NO	G	x	x		Susan E. Maloney, Esq.	1	09/12/2018	Not	61
18-00179	Newark, NJ	01/16/2018	11/15/2018	11/19/2018	Raymond James Financial Services Incorporated; LPL Financial LLC	ISC	Daniel Thomas Foran	AdvisorLaw LLC	NO	NO	G	x	x		Michael H. DuBoff, Esq.	1	11/12/2018	CR	3
18-00187	Denver, CO	01/16/2018	07/12/2018	09/04/2018	Edward Jones	ISC	Cheryl Ann Squier	FA Expungement LLC	NO	NO	G		x	x	Michael Jeffrey Norton, Esq.	1	07/10/2018	PoS	2
18-00194	Raleigh, NC	01/17/2018	11/27/2018	12/10/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Garland Richard Homes	AdvisorLaw LLC	NO	NO	G	x			Stuart K. Furman	1		UD	
18-00197	Des Moines, IA	01/17/2018	11/09/2018	02/28/2019	VSR Financial Services Incorporated	ISC	Bradley Todd Glasman	AdvisorLaw LLC	NO	NN	D				Jonathan B. Gilbert, Esq.	2		Dec	
18-00204	New York, NY	01/17/2018	08/08/2018	08/21/2018	Customers only	Customer	Michael Paul Huddles	Imbesi Law PC	NO	NO	G		x		Lise Gabrielle Hunter, Esq. - Chair; Fred S. Pieroni; Joan Seewald Brodsky	1		Rs	
18-00205	New York, NY	01/17/2018	10/15/2018	10/19/2018	JP Morgan Securities LLC; Pershing LLC	Satterlee Stephens LLP (JPMS); ISC (P)	George Joseph Schietinger, Jr.	AdvisorLaw LLC; HLBS Law	OB	NO	G	x		x	Linda J. Baer, Esq.	1		UD	

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18-00208	Seattle, WA	01/17/2018	09/27/2018	10/04/2018	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Jared Blair Smith	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	05/08/2018	Not	142
18-00225	Los Angeles, CA	01/18/2018	07/12/2018	09/14/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Gary Robert Davis; Ariel Bobroff	AdvisorLaw LLC	NO	NO	G	x	x	x	1	05/30/2018	Not	43
18-00232	Newark, NJ	01/19/2018	09/07/2018	09/19/2018	LPL Financial LLC	ISC	John Patric Hyland	AdvisorLaw LLC	NO	NO	G	x	x	x	1		UD	
18-00234	Newark, NJ	01/19/2018	06/07/2018	06/28/2018	Raymond James Financial Services Incorporated	ISC	John Francis Foran	AdvisorLaw LLC	NO	NO	G	x	x	x	1	05/22/2018	PoS	16
18-00240	Boca Raton, FL	01/19/2018	07/25/2018	08/08/2018	RBC Capital Markets LLC	Wland Guerra King PA	George Sirigotis	Bressler Amery & Ross	NO	NN	G	x	x		1		Dec	
18-00244	Detroit, MI	01/22/2018	07/13/2018	08/10/2018	Fifth Third Securities Incorporated; Ameriprise Financial Services Incorporated	Jackson Lewis PC (FTS); ISC (AFS)	Mykel Ajani Barnes	Hubbard Snitchler & Parzianello	NO	NO	G		x		1	06/12/2018	Not	31
18-00245	Tampa, FL	01/22/2018	11/01/2018	11/09/2018	Trustmont Financial Group Incorporated	William T. Krzton, Attorney-at-Law	Robert Barry Harwood	AdvisorLaw LLC	NO	NO	G	x			1	09/28/2018	Not	34
18-00247	Milwaukee, WI	01/22/2018	10/09/2018	11/16/2018	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Edward Carlton Fox, III	AdvisorLaw LLC	NO	NO	G	x	x		1	06/25/2018	Not	106
18-00248	Phoenix, AZ	01/22/2018		10/02/2018	Cetera Advisors LLC; Legacy Financial Services Incorporated	Stokes Carmichael & Ernst (LFS); ISC (CA)	John Boone Kincaid	AdvisorLaw LLC	NO	UN	D				0		UN	
18-00250	New York, NY	01/22/2018	09/06/2018	10/08/2018	Credit Suisse Securities (USA) LLC	ISC	George Joseph Schietinger	AdvisorLaw LLC	NO	NO	G		x		1		UD	
18-00261	Buffalo, NY	01/23/2018	09/20/2018	10/31/2018	Gleacher & Company Securities Incorporated; Legg Mason Wood Walker Incorporated	No-show	John Gerard Tyczynski	AdvisorLaw LLC	NO	NO	G		x		1		UD	
18-00262	New York, NY	01/23/2018	09/25/2018	10/09/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Christopher Michael Faggioni	AdvisorLaw LLC	NO	NO	G	x	x	x	1		UD	
18-00276	New York, NY	01/24/2018	09/18/2018	10/02/2018	Ameriprise Financial Services Incorporated	ISC	Michael Lawrence Sangirardi	AdvisorLaw LLC	NO	NO	G	x	x		1		UD	
18-00278	New York, NY	01/24/2018	10/15/2018	10/16/2018	Citicorp Investment Services Incorporated	Bressler Amery & Ross	Christopher Michael Faggioni	AdvisorLaw LLC	NO	NN	G	x			1		CNF	
18-00280	Denver, CO	01/24/2018	07/10/2018	07/25/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Thomas John Alley	FA Expungement LLC	NO	NO	G	x			1	07/09/2018	PoS	1

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18-00289	New York, NY	01/24/2018	08/28/2018	09/05/2018	Kestra Investment Services LLC	ISC	Andrew Scott Brief	AdvisorLaw LLC	NO	NO	G		x		Howard D. Jacob, Esq.	1		UD	
18-00290	Raleigh, NC	01/24/2018	08/09/2018	08/14/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kenneth Fredrick Hill	AdvisorLaw LLC	NO	NO	G	x	x		Leonard E. Benade, PhD	1		UD	
18-00291	Syracuse, NY	01/24/2018	08/01/2018	08/23/2018	Lincoln Financial Advisors Corporation	ISC	John Paul Enright	AdvisorLaw LLC	NO	OB	G		x		James W. (Jim) Geiger	1	07/10/2018	CR	22
18-00292	New York, NY	01/24/2018	10/19/2018	11/29/2018	Eastbrook Capital Group LLC	No-show	Damany Eric Henry	AdvisorLaw LLC	NO	NN	G/D		x		Susan C. Lushing, Esq.	1		CNF	
18-00294	Baltimore, MD	02/05/2018	12/10/2018	12/18/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kent Vincent Pearce	AdvisorLaw LLC	NO	NO	G		x		James A. Hayes	1		UD	
18-00303	Detroit, MI	01/24/2018	10/18/2018	11/12/2018	MML Investors Services LLC; LPL Financial LLC	Kramer & Kramer (MMLIS); ISC (LPLF)	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	NO	G	x	x		Stephen D. Kursman, Esq.	1	06/26/2018	Not	114
18-00315	Hartford, CT	01/26/2018	07/31/2018	09/05/2018	Tucker Anthony Incorporated	Bressler Amery & Ross	Geoffrey L. Fiszal	AdvisorLaw LLC	NO	NO	G	x	x	x	Samuel Harrison Chorches, Esq.	2		UD	
18-00325	Los Angeles, CA	01/26/2018	02/14/2019	07/31/2019	Royal Alliance Associates Incorporated	ISC	Daryl Andrew Cole	HLBS Law	NO	OB	D				Neil S. Jasper	3	01/10/2019	CR	35
18-00328	Pittsburgh, PA	01/31/2018	09/21/2018	10/16/2018	Cetera Advisor Networks LLC	ISC	Timothy Paul Miller; Stephanie A. Hunter	West & Zuberbuhler	NO	NO	G		x		Louis Charles Schmitt, Jr.	1	08/30/2018	Not	22
18-00331	New York, NY	01/29/2018	06/22/2018	08/07/2018	Oppenheimer & Company Incorporated	ISC	Christopher Michael Lazos	Phillipson & Uretsky	NO	OB	G	x			Ted M. Rosen, Esq.	1	05/03/2018	CR	50
18-00333	Washington, DC	01/29/2018	08/22/2018	10/09/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Melanie Folstad	FA Expungement LLC	NO	NO	D				Jane C. Carney, CPA	2	07/24/2018	Not	29
18-00343	Denver, CO	01/29/2018	10/22/2018	11/26/2018	Geneos Wealth Management Incorporated	Kutak Rock LLP	Karl Frederick Frank	AdvisorLaw LLC; HLBS Law	NO	NO	G			x	Donald Neil Tolin	1	10/04/2018	Not	18
18-00344	Los Angeles, CA	01/29/2018	08/15/2018	08/28/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Ralph Bernard Linzmeier Jr.	Law Office of Patrick R. Mahoney	NO	NO	G			x	David J. Anderson	1	07/13/2018	Not	33
18-00373	Denver, CO	01/30/2018	10/17/2018	11/01/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Gary R. Davis	AdvisorLaw LLC	NO	NO	G	x	x		Samuel L. McClaren, Esq.	1	09/17/2018	Not	30
18-00381	New York, NY	01/30/2018	01/04/2019	03/12/2019	Metropolitan Life Insurance Company; MSI Financial Services Incorporated; Morgan Stanley DW Incorporated	ISC	James Stephen Martin	AdvisorLaw LLC	NO	NO	G	x		x	Ted M. Rosen, Esq.	2	12/04/2018	PoS	31
18-00396	Birmingham, AL	01/30/2018	08/28/2018	09/24/2018	Raymond James & Associates Incorporated	ISC	John Roland Russell	Bressler Amery & Ross	NO	NO	G	x	x	x	Harvey R. Linder, Esq.	1	07/25/2018	Not	34
18-00398	San Diego, CA	01/30/2018	08/22/2018	09/27/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Young Mo Chung	AdvisorLaw LLC	NO	NO	G	x	x		Herbert Liberman	2	07/18/2018	Not	35

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000Z130 Findings			Hrg. Sessions	Notice			
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																	Before First Hearing		
18-00401	Detroit, MI	01/30/2018	09/05/2018	09/10/2018	Morgan Stanley	ISC	Bruce Kendall Ballard	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		1	Tracy L. Allen, Esq.	07/25/2018	Not	42
18-00405	San Francisco, CA	01/31/2018	10/30/2018	12/04/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Sonny Hamesh Gulati	AdvisorLaw LLC	NO	NO	G		x		1	Philip Aaron Tymon, JD	09/27/2018	Not	33
18-00414	Boca Raton, FL	01/31/2018	01/11/2019	01/18/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael P. Halperin	AdvisorLaw LLC; HLBS Law	NO	NN	G	x	x		1	Bruce K. Isenberg, Esq.		CNF	
18-00416	Phoenix, AZ	01/31/2018	08/08/2018	08/15/2018	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Trent W. Montague	AdvisorLaw LLC; HLBS Law	NO	NO	D				1	Marc Kalish, JD	06/26/2018	Not	43
18-00417	Phoenix, AZ	01/31/2018	10/17/2018	10/22/2018	Piper Jaffray & Company; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (PJ)	Michael W. Butt	AdvisorLaw LLC	NO	NO	G	x	x		1	Marc Kalish, JD	09/17/2018	Not	30
18-00418	San Francisco, CA	01/31/2018	09/06/2018	10/18/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Scott Michael MacDonald	Shustak Reynolds & Partners	NO	NO	G	x	x		2	Laurel Littman Gothelf, MPH	05/29/2018	PoS	100
18-00422	Miami, FL	02/01/2018	07/13/2018	08/01/2018	Cetera Investment Services LLC	Winget Spadafora & Schwartzberg	Francisco Javier Fernandez Leon	Harvey & Jenks	NO	NO	G	x	x		1	Nanci Sondra Landy	06/29/2018	OTS	14
18-00427	Washington, DC	02/01/2018	06/14/2018	07/18/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Thomas W. Howes	None	NO	UN	D				1	Jane C. Carney, CPA - Chair; Christopher Ryan Moore; Bonnie K. Wachtel, Esq.			
18-00435	Denver, CO	02/01/2018	09/18/2018	10/02/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Jeffrey Michael Speicher	AdvisorLaw LLC	NO	NO	G	x	x		1	Rody P. Biggert, Esq.	08/20/2018	Not	29
18-00438	Chicago, IL	02/01/2018	07/25/2018	08/15/2018	Wells Fargo Advisors LLC; et al.	ISC	Matthew Lawrence Schultz	Thomas F. Burke PC	NO	NO	G/D	x		x	1	Peter Ordower, Esq.	07/12/2018	Not	13
18-00440	New York, NY	02/02/2018	08/14/2018	09/17/2018	Prestige Financial Center Incorporated	No-show	Costa Tzotzis	FA Expungement LLC	NO	NO	D				1	Lorrie E. Whitfield		UD	
18-00447	Newark, NJ	02/02/2018	06/26/2018	07/19/2018	Nationwide Planning Associates Incorporated	ISC	Keith Joseph Steidle	Stark & Stark	NO	NO	G	x	x		1	Robert E. Anderson, Esq.	06/05/2018	Not	21
18-00448	New York, NY	02/02/2018	08/16/2018	08/20/2018	Sanford C. Bernstein & Company LLC	Milbank Tweed et al.	Robert A. Rothman	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		1	Sanford S. Stevens, Esq.		UD	
18-00450	Boca Raton, FL	02/02/2018	10/09/2018	10/18/2018	Dawson James Securities Incorporated	Kaufman Dolowich Voluck LLP	Sean Wesley Mollard	Sallah Astarita & Cox	NO	NO	G			x	1	Kimberly A. Gilmour, Esq.	09/18/2018	Not	21
18-00454	Dallas, TX	02/02/2018	06/08/2018	06/20/2018	Morgan Stanley Smith Barney LLC	ISC	Ira D. Kravitz	Bressler Amery & Ross	NO	NO	G	x	x		1	Eric Ross Cromartie	05/23/2018	PoS	16
18-00459	Chicago, IL	02/02/2018	07/31/2018	08/10/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross	Manfred Hans Hegwer Jr.	AdvisorLaw LLC	NO	NO	G	x	x		1	Leon Fox, JD	06/04/2018	PoS	57

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
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18-00462	Kansas City, MO	02/02/2018	10/16/2018	11/19/2018	Pruco Securities LLC	Law Offices of Alan S. Broderson	Matthew Tyler Shull	The Kueser Law Firm	NO	NO	G			x	1	09/26/2018	PoS	20	
18-00463	Baltimore, MD	02/05/2018	12/03/2018	01/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kent Vincent Pearce	AdvisorLaw LLC	NO	NO	G		x	x	1		UD		
18-00464	San Diego, CA	02/05/2018	10/25/2018	11/05/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Christophe Prentice	AdvisorLaw LLC	NO	NO	G	x			1	09/25/2018	Not	30	
18-00465	Los Angeles, CA	02/05/2018	01/14/2019	02/11/2019	RP Capital LLC	ISC	Antonio Ramirez	HLBS Law	NO	OB	G		x		1	08/27/2018	Not	140	
18-00467	Pittsburgh, PA	02/05/2018	02/05/2019	02/11/2019	Nationwide Securities LLC	Bricker & Eckler	Renick Brown	None	NO	NO	G		x		1	11/29/2018	PoS	68	
18-00468	Omaha, NE	02/05/2018	11/19/2018	12/17/2018	Ameritas Investment Corporation	ISC	David Alan Skutnik	AdvisorLaw LLC	OB	NO	G	x	x		1	06/27/2018	Not	145	
18-00473	New York, NY	02/05/2018	08/27/2018	08/31/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David James Christensen	AdvisorLaw LLC	NO	NO	G		x		1		UD		
18-00480	San Diego, CA	02/05/2018	10/26/2018	12/03/2018	Securities America Incorporated	Freeman Mathis & Gary	Charles George Duncan	FA Expungement LLC	NO	NO	G	x	x		1	08/17/2018	PoS	70	
18-00481	Salt Lake City, UT	02/05/2018	09/27/2018	10/02/2018	Wells Fargo Investments LLC	Jones Bell LLP	Mark Richard Lazar	FA Expungement LLC	NO	NO	G	x			1	09/25/2018	PoS	2	
18-00483	Detroit, MI	02/05/2018	11/14/2018	01/17/2019	Sigma Financial Corporation	Saretsky Hart et al.	Andrew Samuel Perri	AdvisorLaw LLC	NO	NO	G		x		1	10/05/2018	Not	40	
18-00484	Minneapolis, MN	02/05/2018	08/24/2018	09/07/2018	Miller Johnson Steichen Kinnard Incorporated	No-show	Patrick Francis Kelly	AdvisorLaw LLC	NO	NO, UN	D				1		UN		
18-00485	Minneapolis, MN	02/05/2018	09/06/2018	09/13/2018	Wells Fargo Clearing Services LLC	ISC	Rhett Paul Neuman	FA Expungement LLC	NO	NO, UN	D				2		UN		
18-00488	Los Angeles, CA	02/05/2018	11/27/2018	12/19/2018	UBS Financial Services Incorporated	ISC	Michael A. Poutre II	Drinker Biddle & Reath	NO	NO	G			x	1	10/10/2018	PoS	48	
18-00493	New York, NY	02/06/2018	09/14/2018	09/27/2018	Oppenheimer & Company Incorporated; Maxim Group LLC	ISC	Christopher Michael Lazos	Phillipson & Uretsky	NO	NO	G	x	x		1		UD		
18-00494	Newark, NJ	02/06/2018	12/19/2018	01/17/2019	JP Turner & Company LLC	ISC	Robert Emmett Gill	AdvisorLaw LLC	NO	NO	G/D		x		1		UD		
18-00496	Hartford, CT	02/06/2018	12/11/2018	01/08/2019	AG Edwards & Sons Incorporated; RBC Capital Markets LLC	Bressler Amery & Ross (RBCCM); ISC (AGE&S)	Stacie Weiner	AdvisorLaw LLC	NO	NO	G/D		x		1		UD		
18-00501	Tampa, FL	02/06/2018	10/04/2018	10/23/2018	Next Financial Group Incorporated; Woodbury Financial Services Incorporated	ISC	Jeffrey Guy LaBelle	AdvisorLaw LLC; HLBS Law	NO	NO	D				1		UD		

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18-00506	San Diego, CA	02/07/2018	10/18/2018	11/23/2018	WaMu Investments Incorporated	ISC	Gabriel Yanez	AdvisorLaw LLC	NO	NO	G	x			1	06/29/2018	Not	111	
18-00507	Los Angeles, CA	02/07/2018	10/10/2018	12/27/2018	RP Capital LLC	ISC	Aaron Douglas Maurer	HLBS Law	NO	NO	G	x	x	x	1	09/12/2018	Not	28	
18-00519	Houston, TX	02/07/2018	09/20/2018	10/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Iain Sharpe	Henneman Rau LLP	NO	NO	G	x	x		1		UD		
18-00520	Houston, TX	02/07/2018	08/29/2018	09/27/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Iain Sharpe	Henneman Rau LLP	NO	NO	G	x	x	x	1		UD		
18-00521	Nashville, TN	02/07/2018	10/22/2018	11/01/2018	Larson Financial Securities LLC	ISC	Lauren Law Oschman	AdvisorLaw LLC	NO	NO	G	x	x		1	09/18/2018	Not	34	
18-00531	Philadelphia, PA	02/08/2018	01/15/2019	01/25/2019	Prudential Equity Group LLC; Wells Fargo Securities LLC; et al.	Law Offices of Alan S. Brodherson (PSLLC); ISC (WFSLLC)	William Christopher Glassman	Offit Kurman PA	NO	NN	G	x	x		1		Rs		
18-00537	Orlando, FL	02/08/2018	11/01/2018	11/19/2018	Wells Fargo Clearing Services LLC	ISC	David Richard Wiercinski II	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	1	07/09/2018	Not	115	
18-00541	San Diego, CA	02/09/2018	08/30/2018	09/19/2018	First Wall Street Corporation; SagePoint Financial Incorporated	ISC	Gabriel Yanez	AdvisorLaw LLC	NO	NO	G		x		1	07/23/2018	Not	38	
18-00557	Boston, MA	02/09/2018	09/27/2018	10/22/2018	Investors Capital Corporation	ISC	Charles Ralston Byrnes	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		1		UD		
18-00558	Houston, TX	02/09/2018	11/12/2018	01/18/2019	Waddell & Reed	Bryan Cave LLP	Beth Ann Hearn	AdvisorLaw LLC	NO	NO	G	x			1	10/08/2018	Not	35	
18-00561	Omaha, NE	02/12/2018	10/18/2018	10/30/2018	Larson Financial Securities LLC	No-show	Richard Reid Frith II	AdvisorLaw LLC	NO	NO	G		x		1	10/01/2018	Not	17	
18-00578	Seattle, WA	02/13/2018	11/19/2018	12/28/2018	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Law Offices of Alan S. Brodherson (PEG); ISC (WFCS)	Shawn Michael Richardson	HLBS Law	NO	NO	G		x		1	07/02/2018	Not	140	
18-00606	Phoenix, AZ	02/14/2018	11/13/2018	12/03/2018	Ameriprise Financial Services Incorporated	ISC	Karekin Gerair Kaprelian	FA Expungement LLC	NO	NO	G/D	x	x		1	10/04/2018	PoS	40	
18-00607	San Francisco, CA	02/14/2018	09/11/2018	10/17/2018	Ameritas Investment Corporation	ISC	Dennis Darrel Dachtler	FA Expungement LLC	NO	NO	G		x		1	09/09/2018	PoS	2	
18-00614	Baltimore, MD	02/14/2018	10/05/2018	11/07/2018	Morgan Stanley; et al.	ISC	David Richard Stack	Offit Kurman PA	NO	NO	G	x	x	x	1		Rs		
18-00615	New York, NY	02/14/2018	12/14/2018	01/11/2019	Morgan Stanley; et al.	ISC	David Richard Stack	Offit Kurman PA	NO	NO	G		x		1		Rs		
18-00616	Baltimore, MD	02/14/2018	10/31/2018	11/15/2018	Morgan Stanley Smith Barney LLC	ISC	David Richard Stack	Offit Kurman PA	NO	NO	G	x		x	1		UD		
18-00622	New York, NY	02/15/2018	12/03/2018	01/11/2019	Eastbrook Capital Group LLC	No-show	Thomas Edison Kelly, Jr.	HLBS Law	NO	NO	G/D	x	x	x	4		UD		
18-00632	Baltimore, MD	02/15/2018	08/21/2018	08/24/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Curtis Kim Frazee	AdvisorLaw LLC	NO	NO	G	x			1		UD		

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18-00641	San Francisco, CA	02/16/2018	08/03/2018	10/03/2018	AXA Advisors LLC; et al.	Gordon Rees et al.	Emmanuel Obel	None	NO	NO	G	x	x		Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) Chair; Gary S. DeWeese; Erik John Renga	1		Rs	
18-00642	San Francisco, CA	02/16/2018	08/16/2018	10/02/2018	Woodbury Financial Services Incorporated; et al.	ISC	Emmanuel Obel	None	NO	NO	G	x	x		Jonathan H. Krottinger, Esq. - Chair; Clifford A. Threlkeld; Reed H. Bement, Esq.	1		Rs	
18-00646	New York, NY	02/16/2018	01/14/2019	02/11/2019	Eastbrook Capital Group LLC	ISC	Thomas Edison Kelly	AdvisorLaw LLC	NO	NO	D				Julian F. Santos, Esq.	1		UD	
18-00657	New York, NY	02/19/2018	11/27/2018	12/10/2018	National Securities Corporation	ISC	Thomas Edison Kelly Jr.	AdvisorLaw LLC	NO	NO	G	x	x		Joseph J. Arata, Esq.	1		UD	
18-00658	Wilmington, DE	02/19/2018	10/15/2018	12/12/2018	LPL Financial LLC	ISC	William R. Walters	AdvisorLaw LLC	NO	NO	G		x		Diane Ciccone, Esq.	1		UD	
18-00661	New York, NY	02/19/2018	09/20/2018	03/04/2019	Chase Investment Services Corporation; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (CIS)	John Douglas Gagliardo	AdvisorLaw LLC	NO	OB	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1	09/17/2018	CR	3
18-00662	San Francisco, CA	02/19/2018	10/11/2018	10/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Josephine Tracy White	AdvisorLaw LLC; HLBS Law	NO	NO	G	x			Herb Schwartz	1	09/11/2018	Not	30
18-00664	Newark, NJ	02/19/2018	12/11/2018	02/08/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Robert John Cutrupi	AdvisorLaw LLC	NO	NO	G	x	x		Joan M. Traub, Esq.	2		UD	
18-00670	Tampa, FL	02/19/2018	10/30/2018	12/03/2018	Raymond James & Associates Incorporated	ISC	Richard Happle	AdvisorLaw LLC; HLBS Law	NO	NO	G	x			Darryl C. Wilson, Esq.	1	10/15/2018	PoS	15
18-00672	Newark, NJ	02/20/2018	10/23/2018	11/16/2018	Morgan Stanley & Company LLC	ISC	David Anthony Munoz	AdvisorLaw LLC	NO	UN	G	x	x		Robert E. Anderson, Esq.	1		UD	
18-00674	New York, NY	02/20/2018	12/19/2018	01/25/2019	National Securities Corporation	ISC	Thomas Edison Kelly	AdvisorLaw LLC	NO	OB	G/D	x	x		Robert E. Anderson, Esq.	1		UD	
18-00693	Los Angeles, CA	02/20/2018	10/01/2018	10/09/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Marc M. Rosenbach	AdvisorLaw LLC	NO	NN	G	x	x		Robert D. Sussin, Esq.	1		Dec	
18-00697	Houston, TX	02/20/2018	09/26/2018	10/19/2018	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Michael Shane Sullivan	AdvisorLaw LLC	NO	NO	G	x			Frank M. Romano	1	08/24/2018	Not	33
18-00698	Chicago, IL	02/20/2018		08/31/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark William Birringer	AdvisorLaw LLC; HLBS Law	NO	UN	D				Charles Orlove	0			
18-00699	Orlando, FL	02/20/2018	12/17/2018	04/03/2019	Edward Jones	ISC	Brian John Groh	HLBS Law	NO	OB	G	x	x		John P. Cullem, Esq.	1	08/13/2018	Not	126
18-00700	Milwaukee, WI	02/20/2018	09/27/2018	10/31/2018	American Beacon Partners Incorporated	No-show	Kenneth Philip Sorge	AdvisorLaw LLC	NO	NO	G		x		Tracy L. Nelson, Esq.	1	08/24/2018	Not	34

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.s.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
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18-00713	Atlanta, GA	02/21/2018	02/05/2019	02/14/2019	CIBC World Markets Corporation; Prudential Equity Group LLC	Law Office of Alan S. Brodherson (PEG); ISC (CIBCWM)	Mark David Rosenberg	AdvisorLaw LLC	NO	NO	G	x	x		Harvey R. Linder, Esq.	1		UD	
18-00714	New York, NY	02/21/2018	09/28/2018	11/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Nicholas J. Tagliarino	AdvisorLaw LLC	NO	NO	G		x		Sandra Gale Behrle, Esq.	1		UD	
18-00718	Phoenix, AZ	02/21/2018	09/12/2018	09/26/2018	Morgan Stanley DW Incorporated	ISC	Christopher L. Mette	AdvisorLaw LLC	NO	NO	G	x	x		Merton E. Marks, Esq.	1	08/09/2018	PoS	34
18-00719	Los Angeles, CA	02/21/2018	10/15/2018	03/22/2019	TD Ameritrade Incorporated	Keesal Young & Logan	Peter Edward Cunningham	HLBS Law	NO	NO	G/D		x	x	Elliott David Finkel, Esq.	2	08/01/2018	Not	75
18-00720	Seattle, WA	02/21/2018	11/15/2018	12/13/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Securities Incorporated	Bressler Amery & Ross (MLPFS); ISC (WFS)	Lance J. Williams	AdvisorLaw LLC	NO	NO	G	x			Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1	10/15/2018	Not	31
18-00723	Dallas, TX	02/21/2018	08/13/2018	08/21/2018	Securities America Incorporated	ISC	William Burk Rosenthal	AdvisorLaw LLC	NO	NO	G/D			x	Robert L. Chisolm	1	06/06/2018	Not	68
18-00727	Seattle, WA	06/11/2018	09/06/2018	10/03/2018	NLife Securities LLC	Morgan Lewis & Bockius	Kevin Dale Peterson	Ryan Swanson & Cleveland	NO	NO	G	x	x		Philip E. Cutler, Esq.	1	06/22/2018	PoS	76
18-00739	Cleveland, OH	02/23/2018	04/24/2018	05/18/2018	UBS Financial Services Incorporated	ISC	Owen C. McBride	Bressler Amery & Ross	NO	NO	G		x		Gregory G. Gocek	1	04/04/2018	PoS	20
18-00740	Cleveland, OH	02/23/2018	04/13/2018	04/27/2018	UBS Financial Services Incorporated	ISC	William G. Murphy; Chad A. Hartup	Bressler Amery & Ross	NO	NO	G	x	x		Susan L. Walker, Esq.	1	03/22/2018	PoS	22
18-00741	Atlanta, GA	02/23/2018	10/05/2018	10/18/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Mark David Rosenberg	AdvisorLaw LLC	NO	OB	D				Robert H. Putnam, Jr., Esq.	1		UD	
18-00748	New York, NY	02/23/2018	11/28/2018	06/12/2019	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC	NO	NO	D				Keely D. Parr, Esq.	2	10/29/2018	PoS	30
18-00758	Honolulu, HI	02/23/2018	10/17/2018	11/01/2018	Cetera Advisor Networks LLC	ISC	Clifford Mathew Robello	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Terry M. Lloyd, CPA, CFA	1	07/02/2018	Not	107
18-00765	Atlanta, GA	02/26/2018	12/18/2018	01/04/2019	Morgan Stanley	ISC	Mark David Rosenberg	AdvisorLaw LLC	NO	NO	G		x		Michael J. Ahlstrom, Esq.	1		UD	
18-00766	New York, NY	02/26/2018	12/17/2018	01/28/2019	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC	NO	NO	G	x	x		Richard W. Cutler, Esq.	1		UD	
18-00768	San Francisco, CA	02/26/2018	02/11/2019	02/20/2019	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Joseph Turner Caselle	HLBS Law	NO	NO	G		x		Arocles Aguilar	1	01/04/2019	PoS	38
18-00769	Dallas, TX	02/26/2018	09/18/2018	09/28/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Bradley Dean Thomas; Paul Randall Valtierra	Berry Odom LLP	NO	NO	G		x	x	Jeff Howard Abrams	1	08/13/2018	Not	36

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00774	New York, NY	02/26/2018	12/10/2018	02/22/2019	Citigroup Global Markets Incorporated; Prudential Equity Group LLC	Bressler Amery & Ross (CGM); Nukk-Freeman & Cerra (PEG)	Kevin George Koch	AdvisorLaw LLC	NO	NO	D				Edward W. Morris, Jr., Esq.	1	02/27/2018	PoS	286
18-00779	Los Angeles, CA	02/26/2018	10/18/2018	11/21/2018	Transamerica Financial Advisors Incorporated	ISC	Anthony DiBernardo	AdvisorLaw LLC	NO	NO	G	x	x	x	Joseph C. Watson, Esq.	1	09/10/2018	PoS	38
18-00781	Los Angeles, CA	02/26/2018	09/13/2018	09/20/2018	Wells Fargo Investments LLC	ISC	Don Ross Martin	AdvisorLaw LLC	NO	NO	G		x		Robert D. Sussin, Esq.	1	08/13/2018	Not	31
18-00783	Los Angeles, CA	02/26/2018	08/23/2018	09/21/2018	Centaurus Financial Incorporated	ISC	Jodi Anne Selleck	Law Offices of Montgomery G. Griffin	NO	NO	G			x	George L. Tindall	1	08/07/2018	PoS	16
18-00786	Chicago, IL	02/26/2018	01/28/2019	02/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Charles Joyce	AdvisorLaw LLC	NO	NO, UN	D				Kenneth N. Adamson, Esq.	1		UN	
18-00787	Chicago, IL	02/26/2018	12/11/2018	02/28/2019	Mesirow Financial Incorporated	Kopecky Schumacher Rosenburg PC	Jeffrey Brian Mackevich	AdvisorLaw LLC	OB	NO, UN	D				William M. Koziol, Esq.	1		UN	
18-00790	Kansas City, MO	02/26/2018	01/03/2019	01/25/2019	Ameriprise Financial Services Incorporated	ISC	David Max Garrison	AdvisorLaw LLC	NO	NO, UN	D				Robert L. Chisolm	1		UN	
18-00794	New York, NY	02/27/2018	12/10/2018	12/31/2018	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC	NO	OB	G	x			Michael H. DuBoff, Esq.	1	11/13/2018	PoS	27
18-00797	San Francisco, CA	02/27/2018	10/31/2018	11/19/2018	Lincoln Financial Advisors Corporation	Dentons US LLP	Jeff R. Maas	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		Sterling N. Frost	1	08/15/2018	Not	77
18-00799	Chicago, IL	02/27/2018	09/05/2018	09/08/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	David Neale Brown	AdvisorLaw LLC	NO	NO	D				Jonathan B. Gilbert, Esq.	1	08/11/2018	CR	25
18-00812	Miami, FL	02/27/2018	11/01/2018	12/18/2018	Morgan Stanley Smith Barney LLC	ISC	Forrest M. Faro	Bressler Amery & Ross	NO	NO	G	x	x		Will Murphy, Esq.	1	10/23/2018	Not	9
18-00815	New York, NY	02/28/2018	11/01/2018	12/04/2018	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC; HLBS Law	NO	OB	G	x	x		A. Rene Hollyer, Sr.	1	06/20/2018	Not	134
18-00817	Washington, DC	02/28/2018	11/05/2018	03/06/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Eric B. Candelori	AdvisorLaw LLC	NO	NO	D				Marni E. Byrum, Esq.	1		UD	
18-00821	Chicago, IL	02/28/2018	12/19/2018	03/04/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Michael Theodore Lukas	AdvisorLaw LLC	NO	NO	G	x	x		Gregory G. Gocek	1	10/24/2018	Not	56
18-00824	New York, NY	02/28/2018	09/05/2018	10/26/2018	Du Pasquier & Company Incorporated	No-show	Christopher J. Moran	FA Expungement LLC	NO	NO	G			x	Martin A. Edelstein, Esq.	1	08/23/2018	Not	13
18-00828	Los Angeles, CA	02/28/2018	10/12/2018	11/06/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Allen Frances Schreiber	AdvisorLaw LLC	NO	NO	G/D	x	x		Robert D. Sussin, Esq.	1	09/10/2018	Not	32
18-00829	San Francisco, CA	02/28/2018	11/20/2018	12/26/2018	Morgan Stanley DW Incorporated	ISC	John W. Kettmann	AdvisorLaw LLC	NO	NO	G		x		Philip Aaron Tymon, JD	1	10/19/2018	Not	32

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000.2130 Findings			Hrg. Sess.	Notice			
												Factually Impossibl e or Erroneous	False Claim	Not Involve d		Arbitrator Names	Date	Detail	Days
																	Before First Hearin g		
18-00830	San Francisco, CA	02/28/2018	12/13/2018	01/11/2019	Securities America Incorporated	Freeman Mathis & Gary	Richard M. Del Monte	HLBS Law	NO	NO	G		x		1	11/13/2018	PoS	30	
18-00836	Dallas, TX	02/28/2018	10/15/2018	11/28/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Robert G. Black	Berry Odom LLP	NO	OB	G		x	x	1	08/28/2018	Not	48	
18-00844	Boca Raton, FL	03/01/2018	11/12/2018	11/26/2018	Wells Fargo Advisors LLC	ISC	Sean Mark Fetterman	Sallah Astarita & Cox	NO	OB	G	x			1		UD		
18-00845	Richmond, VA	03/01/2018	10/26/2018	01/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Heather K. Evans	AdvisorLaw LLC	NO	NO	G			x	1	06/12/2018	Not	136	
18-00847	New York, NY	03/01/2018	12/04/2018	02/11/2019	Wells Fargo Advisors Financial Network	ISC	Frank Albano	AdvisorLaw LLC	NO	NO	G	x			2		UD		
18-00848	New York, NY	03/01/2018	02/07/2019	03/15/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Ken Kavanagh	AdvisorLaw LLC	NO	OB	G	x	x		1	10/23/2018	PoS	107	
18-00857	Jacksonville, FL	03/01/2018	11/06/2018	12/10/2018	Raymond James Financial Services Incorporated	ISC	Mary Frances Carter	AdvisorLaw LLC; HLBS Law	NO	OB	G	x	x	x	1	10/04/2018	Not	33	
18-00864	Hartford, CT	03/02/2018	12/07/2018	01/10/2019	LPL Financial LLC	ISC	Vincent J. Camarda	AdvisorLaw LLC	NO	NO	G		x		1		UD		
18-00871	Chicago, IL	03/02/2018	10/01/2018	10/16/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Michael Theodore Lukas	AdvisorLaw LLC	NO	UN	D				2		UN		
18-00872	Indianapolis, IN	03/02/2018	11/08/2018	11/20/2018	Edward Jones	ISC	Michael Jon Engelstad	AdvisorLaw LLC	NO	NO, UN	D				1		UN		
18-00880	Los Angeles, CA	03/05/2018	09/26/2018	10/09/2018	JP Morgan Securities LLC	Ogletree Deakins et al.	Grant David DeVaul	FA Expungement LLC	NO	NO	G	x	x		1	09/19/2018	PoS	7	
18-00888	Boston, MA	03/05/2018	11/02/2018	11/13/2018	JP Morgan Securities LLC; Morgan Stanley	Satterlee Stephens LLP (JPMS); ISC (MSSB)	Alexander M. Sugar	FA Expungement LLC	NO	NO	G			x	1	09/20/2018	CR	43	
18-00889	Baltimore, MD	03/06/2018	12/18/2018	01/07/2019	Morgan Stanley; et al.	ISC	David Brian Miller	Offit Kurman PA	NO	NO	G	x			1		Rs		
18-00896	Detroit, MI	03/05/2018	10/11/2018	11/06/2018	Lincoln Financial Securities Corporation	ISC	Keith D. Nast.	Saretsky Hart et al.	NO	NO	G	x	x	x	1	09/11/2018	Not	30	
18-00909	Boca Raton, FL	03/06/2018	11/01/2018	11/07/2018	Wells Fargo Advisors LLC nka Wells Fargo Clearing Services Incorporated	ISC	Michele Elaine Kief	Stein & Stein	NO	NO	G	x	x		1	10/01/2018	Not	31	
18-00916	Newark, NJ	03/07/2018	10/02/2018	11/07/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley Smith Barney LLC; UBS Financial Services Incorporated	Bressler Amery & Ross (MLPFS, UBSFS); ISC (MSSB)	Brian Patrick Clark	Jardim Meisner & Susser	NO	NO	G/D	x			1	07/25/2018	PoS	69	
18-00918	Chicago, IL	03/07/2018	08/16/2018	09/12/2018	Customers only	Customer	Jeffry Peter Kraus	None	NO	NO	G	x			1		Rs		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
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18-00923	Jacksonville, FL	03/07/2018	08/23/2018	09/17/2018	Northwestern Mutual Investment Services LLC	ISC	Michael William Halloran	Tomlinson Law Office PC	NO	NO	G	x			1	08/17/2018	PoS	6	
18-00933	Charlotte, NC	03/08/2018	11/15/2018	11/28/2018	Northwestern Mutual Investment Services LLC	ISC	William McComas Byron	AdvisorLaw LLC	NO	NO	D				1	07/12/2018	Not	126	
18-00938	Hartford, CT	03/08/2018	09/04/2018	09/28/2018	LPL Financial LLC	ISC	William Frederick Warner	AdvisorLaw LLC	NO	NO	G		x	x	1		UD		
18-00939	Wilmington, DE	03/08/2018	12/05/2018	01/16/2019	Wells Fargo Advisors Financial Network	ISC	Janet Kay Redman	AdvisorLaw LLC	NO	UN	D				1		UN		
18-00941	Portland, OR	03/08/2018	02/12/2019	02/14/2019	Royal Alliance Associates Incorporated	ISC	Roger Harvey Blythe	AdvisorLaw LLC	NO	UN	D				1		UN		
18-00942	Charlotte, NC	03/08/2018	10/10/2018	10/23/2018	Wells Fargo Clearing Services LLC	ISC	William Martin Oliver	AdvisorLaw LLC	NO	NO	D				1	09/10/2018	Not	30	
18-00946	New York, NY	03/09/2018	10/15/2018	11/01/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Edward Albert Glenn	AdvisorLaw LLC	NO	NO	G		x	x	1	09/13/2018	Not	32	
18-00947	Boston, MA	03/10/2018	12/12/2018	12/20/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Jeffrey Alan Swett	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
18-00948	Philadelphia, PA	03/09/2018	11/19/2018	01/04/2019	Wells Fargo Clearing Services LLC	ISC	Stephen Frederick Cordasco	AdvisorLaw LLC	NO	NO	G		x		1		UD		
18-00949	New York, NY	03/09/2018	09/06/2018	09/19/2018	Wells Fargo Clearing Services LLC	ISC	Anne Tunney Gagnon; David Rosenberg	Martin LLP	NO	NO	G		x		1		UD		
18-00961	Baltimore, MD	03/09/2018	03/05/2019	03/26/2019	GWN Securities Incorporated	Akerman LLP	Jerrold Eliason Beck	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
18-00962	Cincinnati, OH	03/09/2018	11/26/2018	01/29/2019	Northwestern Mutual Investment Services LLC	ISC	Kyle Mitchell McLaughlin	AdvisorLaw LLC	OB	OB	D				2	12/14/2018	CR BLH	-18	
18-00966	Jackson, MS	03/09/2018	10/11/2018	10/23/2018	Next Financial Group Incorporated	ISC	Andrew B. Adams	AdvisorLaw LLC	NO	NO	G	x			1	09/11/2018	Not	30	
18-00970	Los Angeles, CA	03/12/2018	10/30/2018	11/13/2018	UBS Financial Services Incorporated	ISC	Ford Bradley Howell	Keesal Young & Logan	NO	NO	D				1	10/23/2018	PoS	7	
18-00971	Boca Raton, FL	03/12/2018	09/19/2018	09/21/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Robert Joseph Debbs	Baritz & Colman	NO	NO	G	x	x	x	1	09/10/2018	PoS	9	
18-00979	Houston, TX	03/13/2018	10/08/2018	11/07/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Kelly Dodson Kerr	AdvisorLaw LLC	NO	NO	G	x			1	09/07/2018	Not	31	
18-00989	San Francisco, CA	03/13/2018	12/11/2018	04/15/2019	Breck & Young Advisors Incorporated; Securities America Incorporated	Freeman Mathis & Gary (SA); No-show (B&YA)	Richard Keith Allison	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	10/01/2018	Not	71	
18-00997	New York, NY	03/14/2018	07/10/2018	07/24/2018	HD Vest Investment Services	ISC	John Joseph Vento	AdvisorLaw LLC	NO	NO	G		x		1		UD		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respds.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000/2100 Findings			Hrg. Sessions	Notice				
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days	
																			Before First Hearing	
18-01006	Los Angeles, CA	03/14/2018	08/13/2018	09/14/2018	Transamerica Financial Advisors Incorporated	ISC	Diana Mercedes Navarre	AdvisorLaw LLC	NO	NN	G		x			Neil S. Jasper	3		Dec	
18-01008	Dallas, TX	03/15/2018	05/21/2018	05/25/2018	Morgan Keegan & Company Incorporated	ISC	Matthew E. Lasko	Bressler Amery & Ross	NO	NO	G	x				C. Sumpster Logan	1	05/15/2018	PoS	6
18-01019	Newark, NJ	03/15/2018	10/29/2018	11/21/2018	Cambridge Investment Research Incorporated	ISC	Harris Scott Nydick	AdvisorLaw LLC	NO	NO	G	x	x			Catherine Stewart, Esq.	1		UD	
18-01023	Phoenix, AZ	03/15/2018	07/24/2018	07/31/2018	NEXT Financial Group Incorporated	ISC	Rydan Durant Case	AdvisorLaw LLC	NO	NO	G		x			W. Michael Kelley, Esq.	1	06/19/2018	Not	35
18-01024	Atlanta, GA	03/15/2018	10/23/2018	12/11/2018	Wells Fargo Clearing Services LLC	ISC	T.S. Thompson	AdvisorLaw LLC	NO	NO	G		x	x		James C. Hoover, Esq.	1	09/18/2018	Not	35
18-01026	Richmond, VA	03/15/2018	09/26/2018	11/12/2018	LPL Financial LLC	ISC	Thomas Andrew Love	Ghabai Law Group LLC	NO	OB	G	x	x			Carl F. Bowmer, Esq.	1	07/12/2018	Not	76
18-01028	Chicago, IL	03/15/2018	08/15/2018	08/21/2018	LPL Financial LLC	ISC	Tyler Edward Smith	Frost Brown Todd LLC	NO	NO	G	x	x	x		Susan L. Walker, Esq.	1	07/30/2018	Not	16
18-01040	San Diego, CA	03/16/2018	08/16/2018	08/30/2018	Wells Fargo Advisors LLC; Wells Fargo Clearing Services LLC; et al.	ISC	Timothy Patrick Cusick	Duckor Spradling et al.	NO	NO	G		x			Kevin K. Forrester, Esq. - Chair; Mitchell Lee Lathrop; Brian William Heublein	1		Rs	
18-01065	New York, NY	03/20/2018	09/18/2018	10/11/2018	JP Turner & Company LLC	ISC	Rushdi Zalatimo	AdvisorLaw LLC	NO	NO	G/D	x	x	x		Richard W. Vallario, Esq.	1		UD	
18-01067	New York, NY	03/20/2018	09/13/2018	10/01/2018	National Securities Corporation	ISC	Rushdi Zalatimo	AdvisorLaw LLC	NO	NO	G	x				Pamela H. Roderick	1	08/20/2018	Not	24
18-01074	Philadelphia, PA	03/20/2018	12/20/2018	01/08/2019	Syndicated Capital Incorporated	KPL Law Group	James A. Lavorgna	AdvisorLaw LLC	OB	NO	G	x	x			Steven T. Stern, Esq.	1		UD	
18-01078	New York, NY	03/21/2018	11/06/2018	11/13/2018	Investors Capital Corporation	ISC	Steve Baptist	AdvisorLaw LLC; HLBS Law	NO	NO	G			x		Howard D. Jacob, Esq.	1	10/15/2018	Not	22
18-01080	New York, NY	03/21/2018	11/05/2018	12/12/2018	Walnut Street Securities Incorporated; National Planning Corporation; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (NP & WSS)	Jeremy Paul	AdvisorLaw LLC	NO	NO	G	x	x			Sandra J. Mullings, Esq.	1		UD	
18-01087	Dallas, TX	03/21/2018	10/04/2018	10/19/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Joe Sidney Cotten	AdvisorLaw LLC	NO	NO	G		x			G. Maynard Green, JD	1	09/04/2018	Not	30
18-01090	Chicago, IL	03/22/2018	12/17/2018	02/07/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Timothy Odonnell Cornell	AdvisorLaw LLC	NO	NO	G	x	x	x		Robert S. Sugarman, Esq.	1	09/24/2018	Not	84

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expunged or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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																			Before First Hearing
18-01094	Washington, DC	03/22/2018	03/12/2019	04/03/2019	American General Securities Incorporated; Sagepoint Financial Incorporated	ISC (SF); No-show (AGS)	Veralynn Morris Starostecki	AdvisorLaw LLC	NO	UN	D				Douglas Earl McLaren, Esq.	1		UN	
18-01095	Newark, NJ	03/22/2018	09/12/2018	10/17/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John R. Hudspeth	Wechsler & Cohen	NO	NO	G/D	x			Joseph H. Cerame, Esq.	1		UD	
18-01101	San Diego, CA	03/23/2018	01/28/2019	02/19/2019	FSC Securities Corporation	ISC	Frank Augustine Cuenca	HLBS Law	NO	NO	G/D			x	Robert F. Saint-Aubin, Esq.	1	12/28/2018	PoS	31
18-01111	Houston, TX	03/23/2018	07/24/2018	08/30/2018	Kestra Investment Services LLC as Successor to NFP Securities Incorporated	ISC	Michael G. Rudelson	Moulton Wilson & Arney	NO	NO	G			x	Jeffrey H. Kilgore, Esq.	2	06/20/2018	Not	34
18-01112	Salt Lake City, UT	03/23/2018	11/29/2018	12/31/2018	Commonwealth Financial Network	No-show	Stephen Romney Swensen	AdvisorLaw LLC	NO	NO	G	x	x		Merton E. Marks, Esq.	1	09/19/2018	Not	71
18-01117	San Diego, CA	03/26/2018	10/25/2018	11/14/2018	Securities Service Network LLC	ISC	Frank Augustine Cuenca	AdvisorLaw LLC; HLBS Law	NO	NO	G	x			Mark R. Lee	1	09/25/2018	Not	30
18-01130	Houston, TX	03/27/2018	01/09/2019	02/26/2019	UBS Financial Services Incorporated	None	Robert M. Buchanan	Bressler Amery & Ross	NO	NO	G	x	x	x	Jeffrey R. Jury	1	12/03/2018	Not	37
18-01131	Miami, FL	03/27/2018	12/05/2018	02/06/2019	UBS Financial Services Incorporated	ISC	Nelson F. Faro	Bressler Amery & Ross	NO	NO	G	x	x		Mark Allen Bilawsky	1	11/26/2018	PoS	9
18-01132	Houston, TX	03/27/2018	12/07/2018	02/11/2019	UBS Financial Services Incorporated	ISC	Robert M. Buchanan	Bressler Amery & Ross	NO	NO	G	x	x		Brian James Tagtmeier	1	09/04/2018	Not	94
18-01138	Los Angeles, CA	03/27/2018	01/08/2019	02/04/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Antoine Nabih Souma	Tiffany & Bosco	NO	NO	G		x		Barbara M. Zak, Esq. - Chair; Morris S. Getzels, Esq.; James R. Duncan, Esq.	1	11/15/2018	Not	54
18-01143	Boca Raton, FL	03/27/2018	11/13/2018	11/16/2018	Pacific West Securities Incorporated	No-show	Christopher Grant Conness	AdvisorLaw LLC	NO	NO	G	x	x		Kimberly A. Gilmour, Esq.	1	10/05/2018	PoS	39
18-01153	Los Angeles, CA	03/28/2018	11/13/2018	12/13/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kurt Charles Jackson	HLBS Law	NO	NO	G/D	x			George L. Tindall	1	10/09/2018	Not	35
18-01162	Albuquerque, NM	03/29/2018	11/14/2018	11/29/2018	AXA Advisors LLC; Investors Capital Corporation; The Equitable Life Assurance Society of the United States	ISC (AXAA, IC); No-show (TELASUSA)	Travis Jerome Hughes	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	07/25/2018	Not	112
18-01168	San Francisco, CA	03/29/2018	12/12/2018	01/22/2019	Lincoln Financial Advisors Corporation	Dentons US LLP	Brandi Rose Stahl	HLBS Law	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	08/06/2018	Not	128
18-01181	New York, NY	03/30/2018	09/28/2018	10/23/2018	UBS Financial Services Incorporated	ISC	Eric Andrew Diton	Bressler Amery & Ross	NO	NO	G		x		Sanford S. Stevens, Esq.	1		UD	

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												Factually Impossible or Erroneous	False Claim	Not Involved		Date	Detail	Days Before First Hearing	
																			x
18-01186	Kansas City, MO	03/30/2018	11/14/2018	01/30/2019	LPL Financial LLC	ISC	Donald C. Clark Jr.	AdvisorLaw LLC	NO	NO	G	x	x		Philip J. Glick, Esq.	1	10/09/2018	Not	36
18-01196	San Diego, CA	04/02/2018	11/16/2018	12/18/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (MLPFS); ISC (WFCS)	Scott Daniel Hood	AdvisorLaw LLC	NO	UN	D				Herbert Liberman	1		UN	
18-01217	New York, NY	04/03/2018	10/11/2018	10/26/2018	Continental Broker-Dealer Corporation; National Securities Corporation	ISC	Vasilios Takos	FA Expungement LLC	NO	NO	D				Harrison Johnson	1		UD	
18-01228	New York, NY	04/03/2018	10/18/2018	11/02/2018	Chase Investment Services Corporation; National Securities Corporation; Cetera Advisors LLC	Satterlee Stephens LLP (CIS); ISC (NS, CA)	Mark Sam Kolta	FA Expungement LLC	NO	NO	G	x	x		Richard W. Cutler, Esq.	1	08/23/2018	Not	56
18-01230	San Francisco, CA	04/04/2018	11/05/2018	11/15/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Shane Anthony Brisbin	HLBS Law	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	08/27/2018	Not	70
18-01231	Richmond, VA	04/04/2018	09/27/2018	10/03/2018	MML Investors Services LLC	Stevens & Lee	Frederick Thornton Scruggs Jr.	AdvisorLaw LLC	NO	NO	G	x	x		Jane Kwok Ping Tam	1	08/24/2018	Not	34
18-01234	New York, NY	04/04/2018	09/07/2018	09/24/2018	Park Avenue Securities LLC	ISC	Anthony Joseph Domino	Baritz & Colman	NO	NO	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1	08/06/2018	Not	32
18-01243	Boca Raton, FL	04/04/2018	05/06/2019	06/24/2019	AG Edwards & Sons Incorporated	ISC	Colleen Regina Schuhmann	Sallah Astarita & Cox	NO	NO	G		x	x	Robert G. Geeseman, Esq.	1	04/15/2019	PoS	21
18-01253	San Francisco, CA	04/05/2018	09/10/2018	09/27/2018	Securities Service Network LLC	ISC	Timothy Charles Sullivan	AdvisorLaw LLC	NO	NO	G	x	x		Michael Lancaster Garcia	1	08/10/2018	Not	31
18-01254	Dallas, TX	04/05/2018	01/10/2019	04/15/2019	BBVA Securities Incorporated	Balch & Bingham	Lori Ann Welborn	Schneider Miller Reynolds PC	NO	NO	G		x		Patricia Beaujean Lehtola, Esq.	1	04/27/2018	Not	258
18-01264	Dallas, TX	04/05/2018	10/09/2018	11/02/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Donald William Bescher III	Berry Odom LLP	NO	NO	G		x		G. Maynard Green, JD	1	08/30/2018	Not	40
18-01266	Albuquerque, NM	04/05/2018	10/24/2018	11/14/2018	AXA Advisors LLC; The Equitable Life Assurance Society	ISC	Travis Jerome Hughes	AdvisorLaw LLC	NO	OB	D				Daniel M. Yamshon, Esq.	1	10/09/2018	Not	15
18-01269	Boston, MA	04/06/2018	10/23/2018	11/19/2018	Kovack Securities Incorporated	ISC	Luke Gareth Meekins	Godbout Law PLLC	NO	NO	G	x	x		Gerard S. Marsan, Esq.	1	10/22/2018	PoS	1
18-01272	San Diego, CA	04/06/2018	10/23/2018	10/29/2018	Alamo Capital; FSC Securities Corporation	ISC	Timothy Charles Sullivan	AdvisorLaw LLC	OB	NN	D				Mandel E. Himelstein, Esq.	1		CNF	
18-01276	Newark, NJ	04/06/2018	10/16/2018	11/02/2018	Morgan Stanley DW Incorporated	ISC	Thomas Peter Mullooly	AdvisorLaw LLC	NO	NO	G		x		Julian F. Santos, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-01293	New York, NY	04/09/2018	10/16/2018	10/31/2018	JP Morgan Securities LLC	ISC	Ivan Oscar Alfaro-Ismodes	Eugene L. Small PC	NO	NN	G	x		x	1			NSR	
18-01301	Phoenix, AZ	04/06/2018	10/17/2018	11/21/2018	UBS Financial Services Incorporated	ISC	Jason Andres Zilveti	Keesal Young & Logan	NO	NO	G	x	x		1	08/03/2018	Not	75	
18-01303	Atlanta, GA	04/09/2018	02/26/2019	03/19/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Mark David Rosenberg	AdvisorLaw LLC	NO	OB	G/D		x		1	09/26/2018	Not	153	
18-01305	Denver, CO	04/09/2018	10/02/2018	10/17/2018	First Allied Securities Incorporated	ISC	Joseph Sylvester Sturniolo	AdvisorLaw LLC; HLBS Law	NO	NO	D				1	08/06/2018	Not	57	
18-01312	New York, NY	04/10/2018	10/16/2018	11/28/2018	JP Morgan Securities LLC	Satterlee Stephens LLP	Jennifer Austin Hatch	AdvisorLaw LLC	NO	E	NO	G	x	x	x	1	10/13/2018	CR	3
18-01318	Los Angeles, CA	04/10/2018	11/19/2018	12/28/2018	Ameriprise Financial Services Incorporated	ISC	Adam Scot Goldstein	Freeman Mathis & Gary	NO	OB	G	x	x		1	10/19/2018	PoS	31	
18-01331	Omaha, NE	04/11/2018	11/27/2018	01/28/2019	Royal Alliance Associates Incorporated	ISC	Roger Brown Deal	AdvisorLaw LLC	NO	NO	G/D		x		1	10/25/2018	Not	33	
18-01332	Reno, NV	04/11/2018	10/30/2018	11/19/2018	UBS Financial Services Incorporated; Wells Fargo Clearing Services LLC	Keesal Young & Logan (UBSFS); Albert & Will (WFCS)	Kenneth James Meyers	AdvisorLaw LLC	NO	NO	D				1	10/01/2018	Not	29	
18-01333	Los Angeles, CA	04/11/2018	10/29/2018	02/05/2019	Sagepoint Financial Incorporated; National Planning Corporation	ISC	Jeffrey Robert Lavin; Mark James Sudol	Freeman Mathis & Gary	NO	OB	G	x	x		1	10/11/2018	PoS	18	
18-01344	Milwaukee, WI	04/11/2018	10/01/2018	11/09/2018	B.C. Ziegler & Company	Quarles & Brady	Daniel Jay Aiken	AdvisorLaw LLC	NO	NO	G	x	x		1	08/28/2018	Not	34	
18-01354	New York, NY	04/12/2018	04/17/2019	05/08/2019	Stifel Nicolaus & Company Incorporated	ISC	David Vincent Reuben	Jardim Meisner & Susser	NO	NO, UN	G/D	x	x		1		UN		
18-01368	Boca Raton, FL	04/12/2018	10/09/2018	10/18/2018	Raymond James Financial Services Incorporated	ISC	Benjamin Grady Boynton	AdvisorLaw LLC	NO	NO	G	x	x		1	09/10/2018	Not	29	
18-01371	Houston, TX	04/13/2018	01/25/2019	02/12/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Rafael Locken-Testa	AdvisorLaw LLC	NO	NO, UN	D				1		UN		
18-01373	Detroit, MI	04/13/2018	01/08/2019	03/13/2019	Ameriprise Financial Services Incorporated	ISC	Shannan Maureen Denison	HLBS Law	NO	NO	G		x		1	12/07/2018	PoS	32	
18-01400	Los Angeles, CA	04/16/2018	10/24/2018	12/31/2018	Customers only	Customer	Gordon Li-Heng Chen; Nhut Anh Thi Dang	Keesal Young & Logan	OB	OB	G	x	x		1		Rs		
18-01428	Raleigh, NC	04/18/2018	10/04/2018	10/22/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Paul Daniel Knott	AdvisorLaw LLC	NO	NO	G		x		1	09/04/2018	Not	30	
18-01433	Houston, TX	04/19/2018	04/02/2019	05/23/2019	UBS Financial Services Incorporated	ISC	Mark Allen Moore	Bressler Amery & Ross	NO	OB	G	x	x	x	1	03/06/2019	Not	27	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
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18-01434	Buffalo, NY	04/19/2018	10/29/2018	12/13/2018	Wells Fargo Clearing Services LLC	ISC	Eugene Francis Richardson	FA Expungement LLC	NO	NO	G	x			Ira A. Auerbach	1		UD	
18-01452	Boca Raton, FL	04/20/2018	04/10/2019	04/19/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley DW Incorporated; Citigroup Global Markets Incorporated; Oppenheimer & Company Incorporated	Bressler Amery & Ross (CGM, MLPFS); ISC (MSDW, O&C)	Alfred Bonardi	Sallah Astarita & Cox	NO	OB	G	x	x	x	Elena G. Rodriguez	1	03/27/2019	PoS	14
18-01468	San Francisco, CA	04/20/2018	10/08/2018	10/16/2018	Lincoln Financial Advisors Corporation	Dentons US LLP	Virgilio Benedicto Cristobal	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Philip Aaron Tymon, JD	1	09/10/2018	Not	28
18-01475	Houston, TX	04/20/2018	11/05/2018	02/04/2019	Edward Jones	ISC	Michael Shawn Murphy	AdvisorLaw LLC	NO	OB	G	x			Sherry R. Wetsch, Esq.	3	10/04/2018	Not	32
18-01481	Chicago, IL	04/23/2018	12/11/2018	01/18/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David N. Sheppard	AdvisorLaw LLC	NO	NO	G		x		Thomas F. Mahoney, Esq.	1	11/12/2018	Not	29
18-01482	New York, NY	04/23/2018	11/16/2018	01/02/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Christopher Philip Mittleman	AdvisorLaw LLC	NO	NN	G		x		Michele S. Riley	1		CNF	
18-01495	Montpelier, VT	04/24/2018	10/04/2018	10/22/2018	Ameriprise Financial Services Incorporated	ISC	Denise A. Palmer	AdvisorLaw LLC	NO	NO	G	x	x		Steven T. Stern, Esq.	1		UD	
18-01497	Washington, DC	04/24/2018	11/01/2018	11/20/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mick Dadlani	AdvisorLaw LLC	NO	NO	G/D		x		Olivia Milbank Farrar, JD	1		UD	
18-01521	Jacksonville, FL	04/25/2018	12/19/2018	01/15/2019	Morgan Stanley	ISC	Kirk L. Gravelle	Stein & Stein	NO	NO	G	x	x	x	Richard S. Zaifert, Esq. - Chair; Susan Dawson, Esq.; Ralph Kennedy Frasier, JD	1	11/20/2018	PoS	29
18-01523	Detroit, MI	04/25/2018	11/27/2018	01/24/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	Jeffrey Fratarcangeli	Shumaker Loop & Kendrick	NO	NO	G	x	x		Stephen D. Kursman, Esq. - Chair; Richard Edward Rassel, III; Patrick A. Guenter	1	09/10/2018	Not	78
18-01529	Houston, TX	04/26/2018	12/03/2018	01/31/2019	AXA Advisors LLC	ISC	John Michael McDonough	AdvisorLaw LLC	NO	OB	G	x			Mark C. Walter, JD	1	10/24/2018	Not	40
18-01536	New York, NY	04/26/2018	11/06/2018	12/07/2018	Morgan Stanley & Company LLC	ISC	Robert Scott Gilman	Baritz & Colman	NO	NO	G	x			Howard L. Sobel	1		UD	
18-01540	San Diego, CA	04/26/2018	10/02/2018	10/17/2018	LPL Financial LLC	ISC	Todd Evan Frank	HLBS Law	NO	NO	G	x	x		Mark R. Lee	1	09/07/2018	PoS	25
18-01543	Houston, TX	04/26/2018	09/12/2018	09/24/2018	UBS Financial Services Incorporated	ISC	John Carolyn	Bressler Amery & Ross	NO	NO	G	x			Sherry R. Wetsch, Esq.	1	09/04/2018	PoS	8
18-01545	Houston, TX	05/02/2018	04/02/2019	05/13/2019	UBS Financial Services Incorporated	No-show	John Carolyn; Alfred Gary Kovacs	Bressler Amery & Ross	NO	NO	G	x			Daniel J. Pagnano, Esq.	1		UD	
18-01546	Boca Raton, FL	04/26/2018	11/07/2018	11/13/2018	LPL Financial LLC	ISC	Lionel James Casey III	Ghabai Law Group LLC	NO	NO	G	x	x	x	Elena G. Rodriguez	1	10/09/2018	PoS	29

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
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18-01553	Philadelphia, PA	04/27/2018	12/13/2018	02/26/2019	WFG Investments Incorporated; PNC Investments; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); Seyfarth Shaw LLP (PNC); ISC (WFGI)	Irvin William Rosenzweig	Coss & Momjian	NO	NO	G		x	x	Carol H. Gold, Esq.	1		UD	
18-01671	Philadelphia, PA	04/30/2018	12/04/2018	02/25/2019	SA Stone Wealth Management Incorporated	ISC	Ian Blane Meierdiercks	AdvisorLaw LLC	NO	NO	G		x		Carol H. Gold, Esq.	1		UD	
18-01672	Syracuse, NY	04/30/2018	11/07/2018	01/22/2019	Wells Fargo Clearing Services LLC	ISC	Marc Alan Johnson	FA Expungement LLC	NO	NO	D				Ralph L. Halpern, Esq.	1		UD	
18-01678	Boca Raton, FL	04/30/2018	12/14/2018	01/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Daryn W. Pingleton	AdvisorLaw LLC	NO	NO	G/D		x		Herbert Branitsky, Esq.	1	12/07/2018	PoS	7
18-01682	New Orleans, LA	05/01/2018	10/12/2018	11/12/2018	FSC Securities Corporation; National Planning Corporation	ISC	Christopher Prentiss Quebedeau	AdvisorLaw LLC	NO	NO	G	x	x		Lynne M. Gomez, Esq.	1	09/12/2018	PoS	30
18-01710	Newark, NJ	05/02/2018	11/02/2018	11/27/2018	Morgan Stanley	ISC	John Bernard Burke	Paduano & Weintraub	NO	NO	G	x	x		Robert E. Anderson, Esq.	1		UD	
18-01718	Miami, FL	05/02/2018	10/16/2018	11/12/2018	UBS Financial Services Incorporated	ISC	Federico J. Sanchez	Bressler Amery & Ross	NO	NO	G		x	x	Barry David Thorpe (fka Barry K. Thorpe, Esq.)	1	10/05/2018	PoS	11
18-01724	New York, NY	05/03/2018	11/08/2018	12/31/2018	Greenpoint Securities LLC	Todd Ratner PLC	James John Raia	AdvisorLaw LLC	NO	NO	G	x	x		Richard W. Cutler, Esq.	1		UD	
18-01731	New York, NY	05/03/2018	12/11/2018	01/08/2019	GunnAllen Financial Incorporated	No-show	Philip William Michals	FA Expungement LLC	NO	NO	G	x	x	x	David John Reilly - Chair; Howard R. Reiss; Alfonso G. Figliolia	1		UD	
18-01738	San Francisco, CA	05/03/2018	11/29/2018	01/14/2019	Vaic Financial Advisors Incorporated; Brecek & Young Advisors Incorporated; Securities America Incorporated	Freeman Mathis & Gary (SA); McElroy Deutsch et al. (VFA); No-show (B&YA)	Richard Maxey	AdvisorLaw LLC; HLBS Law	NO	NO	G		x	x	Sterling N. Frost	1	10/04/2018	PoS	56
18-01740	Los Angeles, CA	05/03/2018	11/07/2018	12/28/2018	JP Morgan Securities LLC	Ogletree Deakins et al.	Lorenzo Daniel Esparza	AdvisorLaw LLC	NO	NO	G	x	x		Kirtley M. Thiesmeyer, Esq.	1	11/06/2018	PoS	1
18-01742	Miami, FL	05/04/2018	03/06/2019	04/17/2019	Morgan Stanley	ISC	Eduardo Isaac Brender	Bressler Amery & Ross	NO	NO	G	x	x		Mark C. Perry, Esq.	1	11/27/2018	Not	99
18-01751	Atlanta, GA	05/04/2018	10/17/2018	11/01/2018	LPL Financial LLC	ISC	David Michael Rath	Ghabai Law Group LLC	NO	NO	G	x	x	x	John F. Allgood, Esq.	1		UD	
18-01757	San Juan, PR	05/07/2018	09/19/2018	10/10/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Edgardo H. Ferrer	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Steven Gerard Goerke, Esq.	1	05/10/2018	Not	132
18-01771	Denver, CO	05/07/2018	11/30/2018	01/15/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Bryan Scott Jarman	HLBS Law	NO	OB	G	x	x		Anita Rae Shapiro	1	10/31/2018	Not	30
18-01772	Salt Lake City, UT	05/07/2018	12/06/2018	02/12/2019	Piper Jaffray & Company	ISC	James William Phillips	AdvisorLaw LLC	NO	NO	D				Paul H. Lamboley, Esq.	1	10/29/2018	PoS	38
18-01773	Los Angeles, CA	05/07/2018	12/19/2018	01/14/2019	Centaurus Financial Incorporated	ISC	Troy Nicholas Tremblay	Keesal Young & Logan	NO	NO	G	x			George L. Tindall	1	11/06/2018	Not	43

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000/2100 Findings			Hrg. Sess.	Notice			
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18-01777	New York, NY	05/08/2018	01/03/2019	01/16/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Steven Patrick Flagg	AdvisorLaw LLC	NO	NO	G		x		James S. Hazard	1		UD	
18-01780	Los Angeles, CA	05/08/2018	10/30/2018	11/13/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Laura Marie Raulinaitis	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		Robert F. Saint-Aubin, Esq.	1	10/09/2018	Not	21
18-01790	San Francisco, CA	05/08/2018	02/08/2019	04/11/2019	Banc of America Investment Services Incorporated; Wells Fargo Investments LLC; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (BAIS); ISC (WFCS, WFI)	Frank Feipang Auyeung	HLBS Law	NO	NO	G	x	x		Daniel M. Yamshon, Esq.	1	01/04/2019	Not	35
18-01791	New Orleans, LA	05/08/2018	11/02/2018	12/17/2018	Morgan Keegan & Company LLC	ISC	Peter Johnston Wright Jr.	AdvisorLaw LLC	NO	NO	G		x		Daniel J. Pagnano, Esq	1	10/01/2018	Not	32
18-01799	Birmingham, AL	05/09/2018	11/14/2018	01/15/2019	Morgan Keegan & Company LLC	ISC	Jay Richard Higgenbotham	AdvisorLaw LLC	NO	NO	G		x		Frances Johnson-Wright, Esq.	2	11/05/2018	PoS	9
18-01800	Boston, MA	05/09/2018	12/06/2018	01/02/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	John William Corbett	AdvisorLaw LLC	NO	NO	G	x	x		Richard J. Grahn, Esq.	1		UD	
18-01802	Boca Raton, FL	05/10/2018	01/15/2019	01/22/2019	GunnAllen Financial Incorporated; JP Turner & Company LLC	ISC (JPT); No-show (GAF)	Anthony Claude Marcello, III	Kalberer LLP	NO	NO	G	x	x		Mark Allen Bilawsky	1	01/09/2019	PoS	6
18-01804	New York, NY	05/10/2018	10/22/2018	01/02/2019	Raymond James & Associates Incorporated	ISC	Carol Ann Silverman	Law Offices of Joseph E. Gasperetti	NO	OB	G	x			Roger B. Jacobs	1		UD	
18-01821	Miami, FL	05/11/2018	01/25/2019	02/28/2019	UBS Financial Services Incorporated	ISC	Forrest M. Faro	Bressler Amery & Ross	NO	NN	G	x	x	x	Martin A. Feigenbaum, Esq.	1		Dec	
18-01830	Cleveland, OH	05/11/2018	11/01/2018	12/19/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Scott Douglas Brown; Alan Dean Fadel	Carlile Patchen & Murphy	NO	NO, NN	G	x	x		Michael L. Fortney, Esq.	1		CNF	
18-01834	Newark, NJ	05/14/2018	11/12/2018	11/30/2018	American Portfolios Financial Services Incorporated	ISC	Michael Francis Clark	RJM Counsel PLLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1		UD	
18-01850	Newark, NJ	05/15/2018	12/06/2018	01/15/2019	PNC Investments	Seyfarth Shaw LLP	Lawrence V. Sorace	AdvisorLaw LLC	NO	NO	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1		UD	
18-01851	Tampa, FL	05/14/2018	05/13/2019	07/08/2019	UBS Financial Services Incorporated	Proskauer Rose LLP	James Lebaron Springer	Stein & Stein	OB	OB	G		x		Richard J. Fuller, CPA - Chair; James Mathieu; Sharon Lee Chernin	4	04/18/2018	CR	390
18-01854	Philadelphia, PA	05/15/2018	11/05/2018	11/14/2018	The ON Equity Sales Company	ISC	Richard Michael Wesselt	AdvisorLaw LLC	NO	OB	D				Joseph J. Dougherty, JD	1	10/17/2018	Not	19
18-01857	New York, NY	05/15/2018	10/25/2018	10/31/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Gordon Samuel Glener	AdvisorLaw LLC	NO	NO, UN	G		x		Howard D. Jacob, Esq.	1		UN	
18-01862	San Francisco, CA	05/15/2018	11/28/2018	01/31/2019	Credit Suisse Securities (USA) LLC	ISC	Kai Chen	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	Mary Margaret Bush, Esq.	1	10/26/2018	PoS	33

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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18-01875	Phoenix, AZ	05/16/2018	12/04/2018	02/12/2019	National Planning Corporation	ISC	Gary Jesse Deardorff	FA Expungement LLC	NO	NO	G	x			1	Kenneth L. Mann	10/16/2018	Not	49
18-01876	Birmingham, AL	05/18/2018	11/08/2018	02/22/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Isaac Jekuthial Brown	Baker Donelson et al.	NO	NO	G	x			1	Harvey R. Linder, Esq.		UD	
18-01877	Cincinnati, OH	05/16/2018	02/12/2019	05/15/2019	JP Morgan Securities LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); Satterlee Stephens LLP (JPMS); ISC (JPMS)	David Alexander Hertl	Carlile Patchen & Murphy	NO	OB	G/D			x	2	Richard W. Dissen, Esq.	12/11/2018	Not	63
18-01880	Detroit, MI	05/15/2018	10/16/2018	10/31/2018	Lincoln Financial Securities Corporation	ISC	Keith D. Nast	Saretsky Hart et al.	NO	OB	D				1	Patrick R. Sughroue, Esq.	09/11/2018	Not	35
18-01888	Denver, CO	05/16/2018	12/19/2018	01/23/2019	Sentra Securities Corporation	ISC	Michael Gary Ball	HLBS Law	NO	NO	G	x		x	1	Donald Neil Tolin	10/01/2018	PoS	79
18-01896	Washington, DC	05/17/2018	10/25/2018	12/03/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (MLPFS); ISC (WFCS)	William Richard Blake	Potomac Law Group PLLC	NO	NO	G	x	x		1	Nancy E. Watters, Esq.	09/17/2018	PoS	38
18-01908	New York, NY	05/17/2018	01/11/2019	02/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Steven Patrick Flagg	AdvisorLaw LLC	NO	NO	G	x	x		1	Robert E. Anderson, Esq.		UD	
18-01910	Jacksonville, FL	05/17/2018	02/05/2019	03/14/2019	Morgan Stanley	ISC	Stephen C. Huggins	Bressler Amery & Ross	NO	NO	G		x		1	Muriel Desloovere, Esq.	01/17/2019	Not	19
18-01931	New York, NY	05/19/2018	11/08/2018	01/10/2019	Wells Fargo Clearing Services LLC	ISC	David Scott Powers	Jacobson Law PA	NO	NO	G	x	x		1	John D. Nagy		UD	
18-01937	Dallas, TX	05/18/2018	02/14/2019	03/20/2019	Hilltop Securities Incorporated	Jackson Walker LLP	John Christian Coyle	Lewis Brisbois et al.	NO	OB	G	x	x		1	Eric Ross Cromartie		UD	
18-01950	Raleigh, NC	05/21/2018	12/04/2018	12/27/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Manish Mehta	Jenks & Harvey	NO	NO	G	x	x		1	Michael E. Weddington, Esq.	11/26/2018	PoS	8
18-01968	Boca Raton, FL	05/23/2018	02/12/2019	02/19/2019	Laidlaw & Company (UK) Limited	ISC	Matthew Ian Turner	HLBS Law	NO	NO	G	x	x		1	Edward R. Niederriter, Esq.	01/11/2019	PoS	32
18-01981	San Francisco, CA	05/23/2018	11/20/2018	12/17/2018	Wells Fargo Investments LLC; Wells Fargo Securities Incorporated; Wells Fargo Clearing Services LLC	ISC	Stephen Mark Seewer	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	1	Mary Margaret Bush, Esq.	11/09/2018	Not	11
18-01984	Tampa, FL	05/23/2018	02/20/2019	03/27/2019	Raymond James & Associates Incorporated	ISC	Brian William Thomas	HLBS Law	NO	NO	G	x	x		1	Martin M. Van Luven	12/06/2018	Not	76
18-01987	Syracuse, NY	05/24/2018	11/26/2018	12/17/2018	Pruco Securities LLC	Law Offices of Alan S. Brodherson	Jason James Mosher	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		1	Diane Ciccone, Esq.		UD	

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												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-01989	Boston, MA	05/24/2018	12/05/2018	01/18/2019	Wells Fargo Clearing Services LLC	ISC	Mark Alexander Soukup	AdvisorLaw LLC	NO	NO	G	x	x		Robert J. Ambrogi, Esq.	1		UD	
18-01990	Cincinnati, OH	05/24/2018	01/30/2019	03/12/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Clay Coleman	HLBS Law	NO	NO	G	x	x	x	Richard W. Dissen, Esq.	1	12/10/2018	Not	51
18-02025	Wilmington, DE	05/29/2018	02/28/2019	03/14/2019	Wells Fargo Clearing Services LLC	ISC	James Spottswood Gibson	AdvisorLaw LLC	NO	NO	G/D		x		James W. (Jim) Geiger	1		UD	
18-02027	San Francisco, CA	05/29/2018	12/03/2018	01/29/2019	SII Investments Incorporated	Kaufman Dolowich Voluck LLP	Timothy Charles Sullivan	AdvisorLaw LLC	NO	NO	G		x		Peter H. Daly	1	11/12/2018	Not	21
18-02029	Boca Raton, FL	05/29/2018	01/22/2019	01/25/2019	GunnAllen Financial Incorporated	No-show	Matthew Ian Turner	HLBS Law	NO	NO	G	x	x		Kimberly A. Gilmour, Esq.	1	12/21/2018	PoS	32
18-02031	Tampa, FL	05/29/2018	01/24/2019	05/06/2019	Harbor Financial Services LLC	ISC	Brian William Thomas	HLBS Law	NO	NO	G	x	x		Richard S. Zaifert, Esq.	1	12/21/2018	Not	34
18-02046	Reno, NV	05/31/2018	10/17/2018	11/09/2018	Edward D Jones & Company	ISC	Kathe Sorrentino Wilson	None	NO	NO	G		x	x	Darryl J. Horowitz, Esq.	1		UD	
18-02055	San Francisco, CA	06/01/2018	06/11/2019	06/18/2019	Customers only	Customer	David James Hollander	Markun Zusman et al.	OB	OB	D				Laurel Littman Gothelf, MPH - Chair; Alden Sharp Adkins; Shahla F. Ali	1		Rs	
18-02076	Boca Raton, FL	06/05/2018	12/10/2018	12/14/2018	Raymond James & Associates Incorporated	ISC	Trent H. Leyda	Shumaker Loop & Kendrick	NO	NO	G	x	x		Robert Lawrence Ostrov - Chair; Andrew Jay Kohan; Bonnie A. Pearce	1	11/08/2018	Not	32
18-02082	Los Angeles, CA	06/04/2018	11/27/2018	07/15/2019	RP Capital LLC	ISC	Aaron Douglas Maurer	HLBS Law	NO	OB	G/D	x	x	x	Anita Rae Shapiro, Esq.	2	10/26/2018	Not	32
18-02084	Los Angeles, CA	06/04/2018	01/10/2019	01/17/2019	Credit Suisse Securities (USA) LLC	ISC	Darren Ross Edwards	AdvisorLaw LLC	NO	OB	G		x		Joyce L. Hurley	1	10/25/2018	Not	77
18-02088	Pittsburgh, PA	06/04/2018	01/11/2019	03/19/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	James Francis Meyers	AdvisorLaw LLC	NO	NO	G	x	x		James W. (Jim) Geiger	1	11/20/2018	PoS	52
18-02096	Newark, NJ	06/05/2018	10/19/2018	10/31/2018	HD Vest Investment Services	ISC	Brendon Joseph Pierson Jr.	AdvisorLaw LLC	NO	NO	G	x	x	x	Edward W. Morris, Jr., Esq.	1		UD	
18-02105	Newark, NJ	06/06/2018	10/30/2018	11/16/2018	HD Vest Investment Services	ISC	Jeffrey Michael Kotch	AdvisorLaw LLC	NO	NO	G			x	Louis H. Miron, Esq.	1		UD	
18-02110	Los Angeles, CA	06/06/2018	11/20/2018	03/06/2019	City National Securities Incorporated	Keesal Young & Logan	Duncan Earl Rolph	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Elliott David Finkel, Esq.	1	10/09/2018	Not	42
18-02111	Atlanta, GA	06/06/2018	12/17/2018	01/25/2019	QA3 Financial Corporation	No-show	John Earle Redfearn III	AdvisorLaw LLC	NO	NN	G	x		x	Harvey R. Linder, Esq.	1		CNF	
18-02115	Boston, MA	06/06/2018	12/03/2018	01/18/2019	Morgan Stanley Smith Barney LLC	ISC	Jason Michael Traino	FA Expungement LLC	NO	NO	G	x	x		Mary E. Bassett	1	10/25/2018	PoS	39
18-02137	Newark, NJ	06/07/2018	05/29/2019	06/27/2019	Cetera Advisors LLC; Citigroup Global Markets Incorporated; Morgan Stanley & Company LLC	Bressler Amery & Ross (CGM); ISC (CA, MS)	David Wren	Winget Spadafora & Schwartzberg	NO	NO	G	x			Joseph H. Cerame, Esq.	1		UD	
18-02139	New York, NY	06/07/2018	10/05/2018	12/06/2018	Casimir Capital Limited Partnership	ISC	Richard Anthony Brewster	Gabriel Fischbarg, Attorney-at-Law	NO	NO	G	x	x		Linda J. Baer, Esq. - Chair; Karen Isabel Bedrosian-Richardson; Jonathan Abrams	1	10/31/2018	PoS	-26

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sessions	Notice		
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18-02141	Tampa, FL	06/07/2018	11/09/2018	03/11/2019	Robert W. Baird & Company Incorporated	ISC	Evan Robin Guido	FA Expungement LLC	NO	NO	G		x		Ian S. Greig	1		UD	
18-02148	San Diego, CA	06/08/2018	11/15/2018	12/04/2018	Wells Fargo Clearing Services LLC	ISC	Breanne Polonia fka Breanne Morgan.	Keesal Young & Logan	NO	NO, NN	G		x		Kevin K. Forrester, Esq.	1		SNR	
18-02162	Boston, MA	06/11/2018	03/04/2019	03/22/2019	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Douglas J. John Calnan	AdvisorLaw LLC	NO	NO	G	x	x		Gerard S. Marsan, Esq.	1		UD	
18-02167	San Diego, CA	06/11/2018	11/12/2018	12/13/2018	Lucia Securities LLC	ISC	Raymond Joseph Lucia Jr.	RJM Counsel PLLC	NO	NO	G			x	Mark R. Lee	1		UD	
18-02175	Charlotte, NC	06/12/2018	11/28/2018	01/25/2019	WMA Securities Incorporated; World Group Securities Incorporated	ISC (WGS); No show (WMAS)	John Burke Balcerzak	AdvisorLaw LLC	NO	NO	G		x		Lynne Townsend Albert, Esq.	1	10/29/2018	Not	30
18-02188	Los Angeles, CA	06/12/2018	01/17/2019	02/12/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Simon Matthew Holford	HLBS Law	NO	NO	G	x	x		Michael D. Harrison, Esq.	1	12/13/2018	Not	35
18-02192	Newark, NJ	06/12/2018	12/11/2018	03/27/2019	Atlantic Group Securities Incorporated; Morgan Stanley DW Incorporated	ISC	David Philip Netkin	Louis H. Miron, Attorney-at-Law	NO	NO	G	x	x		Abraham Harry Bunis	1	10/16/2018	PoS	56
18-02196	San Francisco, CA	06/12/2018	12/12/2018	01/09/2019	Ameriprise Advisor Services Incorporated	ISC	Kevin Thomas Moran	AdvisorLaw LLC	NO	UN	D				Herb Schwartz	1		UN	
18-02200	Hartford, CT	06/13/2018	01/17/2019	01/30/2019	Ameriprise Financial Services Incorporated	ISC	Mark Dean Brannigan	AdvisorLaw LLC	NO	NO	G	x			Robert B. Titus	1		UD	
18-02205	New York, NY	06/13/2018	11/30/2018	01/04/2019	Sanford C. Bernstein & Company LLC	Milbank Tweed et al.	David Wilford Allen	AdvisorLaw LLC	NO	NO	G	x			Alice E. Winkler, Esq.	1		UD	
18-02212	St. Louis, MO	06/13/2018	08/02/2018	08/10/2018	UBS Financial Services Incorporated	ISC	Eliot Simon	Bressler Amery & Ross	NO	NO	G			x	Thomas J. Ray, Esq.	1	07/18/2018	Not	15
18-02213	Boca Raton, FL	06/14/2018	09/27/2018	10/11/2018	Morgan Stanley Smith Barney LLC	ISC	Jeffrey H. Leach	Bressler Amery & Ross	NO	OB	G	x	x		Will Murphy, Esq.	2	09/07/2018	PoS	20
18-02219	Newark, NJ	06/14/2018	11/19/2018	04/11/2019	Hennion & Walsh Incorporated	ISC	Joseph Ismael Rodriguez	Hennion & Walsh Inc.	NO	NO	G	x	x	x	Linda J. Baer, Esq.	1		UD	
18-02222	Chicago, IL	06/14/2018	02/14/2019	05/03/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	James Allen	, Law Offices of J.B. Kons	NO	NO	G	x	x		Michael S. Matek, Esq.	2	01/24/2018	PoS	386
18-02236	Newark, NJ	06/15/2018	11/15/2018	01/07/2019	Hennion & Walsh Incorporated	ISC	Patrick Timothy Walsh	Hennion & Walsh Inc.	UK	NO	G		x		Linda J. Baer, Esq.	1		UD	
18-02254	Chicago, IL	06/18/2018	12/27/2018	01/31/2019	World Equity Group Incorporated	ISC	Richard Steven Babjak Jr.	AdvisorLaw LLC	NO	NO	G		x		Ray J. Grzebielski, Esq.	1	11/28/2018	PoS	29

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sessions	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days
18-02265	Detroit, MI	06/18/2018	12/05/2018	02/08/2019	Wells Fargo Advisors LLC	Saretsky Hart et al.	Michael M. Anderson	Joseph H. Spiegel PLLC	NO	NO	G	x		x	Jeffrey Mark Bauer, Esq.	1	06/18/2018	Not	170
18-02270	San Francisco, CA	06/19/2018	01/08/2019	01/23/2019	Wells Fargo Clearing Services LLC	ISC	Leila Suely Gough	AdvisorLaw LLC	NO	UN	D				Herb Schwartz	1		UN	
18-02274	Boston, MA	06/19/2018	01/03/2019	01/30/2019	Morgan Stanley Smith Barney LLC	ISC	Andrew Hughes Zimmerman	AdvisorLaw LLC	NO	NO	G/D		x		Gerard S. Marsan, Esq.	1		UD	
18-02295	Houston, TX	06/20/2018	05/08/2019	07/23/2019	Amegy Investments Incorporated	ISC	Troy Wayne Taylor	None	NO	OB	D				Allan R. Lazor, Esq.	2	06/13/2019	CR BLH	-36
18-02298	New York, NY	06/20/2018	04/17/2019	05/31/2019	GunnAllen Financial Incorporated; JP Turner & Company LLC	ISC	James John Raia	AdvisorLaw LLC	NO	OB	D				Martin A. Edelstein, Esq.	1		UD	
18-02309	Chicago, IL	06/20/2018	11/20/2018	01/21/2019	Fifth Third Securities Incorporated	Jackson Lewis PC	Carolyn Song-Pegg	Saretsky Hart et al.	NO	NO	G	x	x		Leon Fox, JD	1	11/15/2018	PoS	5
18-02320	Boise, ID	06/21/2018	03/04/2019	07/02/2019	Prospera Financial Services Incorporated; VSR Financial Services Incorporated; LPL Financial LLC	ISC	Peter Carmine Covino	AdvisorLaw LLC	NO	NO	G/D		x		Daniel B. MacLeod, Esq.	3	12/31/2018	PoS	63
18-02337	Salt Lake City, UT	06/22/2018	12/14/2018	02/11/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	James William Phillips	AdvisorLaw LLC	NO	NO	G		x		Richard D. Fincher, Esq.	1	11/14/2018	Not	30
18-02364	New Orleans, LA	06/25/2018	01/10/2019	02/01/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark Crider Callahan	FA Expungement LLC	NO	NO	G	x	x	x	David A. Schuler	1	11/14/2018	Not	57
18-02378	Dallas, TX	06/26/2018	01/07/2019	01/23/2019	United Pacific Securities Incorporated; National Planning Corporation	ISC (NP); No-show (UPS)	Eric James Schindler	AdvisorLaw LLC	NO	NO	G/D	x			Mandel E. Himelstein, Esq.	1	12/07/2018	PoS	31
18-02384	Boca Raton, FL	06/27/2018	03/27/2019	04/03/2019	RBC Capital Markets LLC; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (RBCCM)	Dustin Allen Smith	FA Expungement LLC	NO	NO	G	x		x	Steven E. Eisenberg, Esq.	1	01/30/2019	PoS	56
18-02387	Chicago, IL	06/27/2018	10/09/2018	10/15/2018	UBS Financial Services Incorporated	ISC	Christopher S. Pfaff	Bressler Amery & Ross	NO	NO	G	x			Ray J. Grzebielski, Esq.	1	10/01/2018	Not	8
18-02392	Newark, NJ	06/27/2018	02/04/2019	03/14/2019	AXA Advisors LLC; The Equitable Life Assurance Society of The United States; Allstate Financial Services LLC	Seyfarth Shaw LLP (AFS); ISC (AXAA & ELASoUS)	Jeffrey Michael Stillwell	AdvisorLaw LLC	NO	NO	G		x		Louis H. Miron, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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18-02399	Cincinnati, OH	06/28/2018	12/17/2018	03/26/2019	Ameriprise Financial Services Incorporated	ISC	Jahn Dorab Gazder	Saretsky Hart et al.	NO	NO	G		x		Michael J. Meeusen, Esq.	1	11/29/2018	Not	18
18-02404	Boca Raton, FL	06/28/2018	11/28/2018	12/10/2018	M Holdings Securities Incorporated	ISC	Robert Marshall Jones	Winget Spadafora & Schwartzberg	NO	NO	G		x		Gary M. Landau, Esq.	1		UD	
18-02409	Newark, NJ	06/29/2018	01/15/2019	01/18/2019	Hennion & Walsh Incorporated	ISC	William Hennion	Hennion & Walsh Inc.	NO	NO	G		x	x	Joseph H. Cerame, Esq.	1		UD	
18-02410	Boston, MA	06/29/2018	01/15/2019	01/25/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Andrew Hughes Zimmerman	AdvisorLaw LLC	NO	NO	G	x	x	x	Susan E. Maloney, Esq.	1		UD	
18-02423	Los Angeles, CA	07/02/2018	03/07/2019	03/28/2019	Syndicated Capital Incorporated	KPL Law Group	Albert Alan Aizin	FA Expungement LLC	NO	NO	G	x	x		Robert D. Sussin, Esq.	1	02/17/2019	PoS	18
18-02430	Minneapolis, MN	07/02/2018	02/05/2019	03/01/2019	Berthel Fisher & Company Financial Services Incorporated	ISC	Jonathan Todd Pyne	AdvisorLaw LLC	NO	NO, UN	D				Thomas J. Gmeinder, Esq.	1		UN	
18-02441	Los Angeles, CA	07/04/2018	09/07/2018	10/16/2018	UBS Financial Services Incorporated	ISC	Deborah Lynn Key	Bressler Amery & Ross	NO	NO	G	x	x		Kirtley M. Thiesmeyer, Esq.	1	08/16/2018	PoS	22
18-02451	Salt Lake City, UT	07/05/2018	01/17/2019	02/05/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Richard Martin Potashner	AdvisorLaw LLC	NO	NO	G	x	x		Herbert Liberman	1	11/28/2018	Not	50
18-02456	Los Angeles, CA	07/06/2018	01/29/2019	04/16/2019	Euro Pacific Capital Incorporated; Maxwell Capital Incorporated	ISC	Matt Ward	Kalberer LLP	NO	NO	G			x	David J. Anderson	1	01/28/2019	Not	1
18-02462	Boston, MA	07/06/2018	11/14/2018	01/09/2019	Raymond James Financial Services Incorporated	ISC	Adrienne Elizabeth Rowles	None	NO	NO, UN	D				Paul Peter Nicolai - Chair; Thomas W. Duffey, Esq. (Dissents); Michael Christopher Hildreth	1		UN	
18-02476	Los Angeles, CA	07/09/2018	02/04/2019	02/08/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Ryan David Gordon	HLBS Law	NO	NN	G	x			Robert E. Jenks	1	10/08/2008	Not	3771
18-02494	Detroit, MI	07/10/2018	02/14/2019	03/19/2019	Morgan Stanley DW Incorporated; Morgan Stanley	ISC	Michael Sia Bellware	HLBS Law	NO	NO	G	x	x		Lee Hornberger, JD	1	01/11/2019	PoS	34
18-02514	Phoenix, AZ	07/11/2018	01/15/2019	03/01/2019	Centaurus Financial Incorporated; Invest Financial Corporation; LPL Financial LLC	ISC	Orion Kelly Willis	AdvisorLaw LLC	NO	OB	G	x			Walter Steven Schwartz	1	12/20/2018	PoS	26
18-02528	Orlando, FL	07/12/2018	10/24/2018	02/08/2019	Morgan Stanley fka Smith Barney	ISC	Dale Grubb	Bressler Amery & Ross	NO	NO	D				William E. Schneider	1		UD	

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																			Before First Hearing
18-02531	Indianapolis, IN	07/12/2018	02/13/2019	04/05/2019	Wall Street Access; Prudential Equity Group LLC	Law Office of Alan S. Brodherson (PEG); Clayman & Rosenberg (WSA)	David Lee Garman	AdvisorLaw LLC	NO	NO	G	x	x		Larry Carlson, Esq.	1	01/24/2019	PoS	20
18-02538	New York, NY	07/13/2018	12/19/2018	02/08/2019	American Portfolios Financial Services	ISC	George Gary Elkin	RJM Counsel PLLC	NO	OB	G	x	x	x	Robert E. Anderson, Esq.	1		UD	
18-02579	New York, NY	07/18/2018	01/23/2019	02/08/2019	National Securities Corporation	ISC	Mark Harry Goldwasser	FA Expungement LLC	NO	NO	G			x	Clive I. Morrisk	1		UD	
18-02580	Boca Raton, FL	07/25/2018	03/26/2019	04/24/2019	Argentus Securities LLC; Kestra Investment Services LLC; Securities America Incorporated	D'Amura & Zaidman (KIS); ISC (SA, AS)	Marc Layne Lowell	Adam D. Palmer PA	NO	NO	G	x		x	Richard J. Kaplan, Esq. - Chair; Jonathan Chane; Susan L. Torbin, MS, CFP	2	01/04/2019	Not	81
18-02592	New York, NY	07/20/2018	01/10/2019	01/30/2019	Oppenheimer & Company Incorporated	ISC	Ivan Shore	Satterlee Stephens LLP	NO	NO	G	x			Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Mary Ellen Burns, Esq.; Madelyn A. Levy, Esq.	1		UD	
18-02605	Portland, OR	07/20/2018	01/31/2019	03/01/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; et al.	Bressler Amery & Ross	Steven Carlon Burch Jr.	None	NO	NO	G		x		Dean J. Dietrich, Esq.	1		Rs	
18-02614	Washington, DC	07/23/2018	01/15/2019	01/30/2019	United Planners Financial Services of America	ISC	Lewis Demiles Baker	FA Expungement LLC	NO	NO	G	x	x		Barbara Davis Solomon, Esq.	1	12/14/2018	PoS	32
18-02621	New Orleans, LA	07/24/2018	01/08/2019	01/23/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Salvadore J. Miletello IV	AdvisorLaw LLC	NO	NO	G	x	x		Barbara L. Edin, Esq.	1	11/15/2018	Not	54
18-02627	Atlanta, GA	07/24/2018	01/17/2019	02/22/2019	Woodbury Financial Services Incorporated	ISC	Thomas Ardavast Kudarauskas	Winget Spadafora & Schwartzberg	NO	OB	G	x	x		Harvey R. Linder, Esq.	1	01/16/2019	CR	1
18-02633	Birmingham, AL	07/24/2018	01/09/2019	02/25/2019	LPL Financial LLC	ISC	Dale Grubb	Bressler Amery & Ross	NO	NO	D				J. Maxwell Williams, Esq.	1	12/07/2018	Not	33
18-02665	Boca Raton, FL	07/26/2018	01/09/2019	02/06/2019	Independent Financial Group LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (IFG)	James Patrick Shawver	HLBS Law	NO	NO	G/D	x			Monroe Mitchel	1	12/07/2018	Not	33
18-02676	Phoenix, AZ	07/30/2018	04/23/2019	06/13/2019	Charles Schwab & Company Incorporated	ISC	Nathaniel S. Barnhart	FA Expungement LLC	NO	E	NO	G		x	Larry Edmonson	1	03/06/2019	PoS	48
18-02677	Hartford, CT	07/30/2018	03/04/2019	03/18/2019	Ameriprise Financial Services Incorporated	ISC	Lyle Hans-Christian Pennell	FA Expungement LLC	NO	NO	G	x			Steven R. Rolnick, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
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18-02686	Los Angeles, CA	07/27/2018	02/11/2019	03/21/2019	UBS Financial Services Incorporated	ISC	Mark Robert Fasano	Keesal Young & Logan	NO	OB	G	x	x	x	Milton N. Gross	1		UD	
18-02693	New York, NY	07/30/2018	04/05/2019	05/21/2019	Cape Securities Incorporated	ISC	Jason Andrew Hoffman	FA Expungement LLC	NO	NO	G	x	x		Carolyn A. Mann	1		UD	
18-02700	Boca Raton, FL	07/30/2018	11/30/2018	01/24/2019	Ameriprise Advisor Services Incorporated	ISC	Kevin Michael Turnock	AdvisorLaw LLC	NO	NO	G	x			Carl Shechter, Esq.	1	11/20/2018	PoS	10
18-02702	Minneapolis, MN	07/30/2018	02/21/2019	05/15/2019	Ameriprise Financial Services Incorporated	ISC	Kurt Willard Peterson	AdvisorLaw LLC	NO	NO	G	x	x		Gregory G. Gocek	1	01/16/2019	Not	36
18-02710	Oklahoma City, OK	07/31/2018	11/27/2018	01/24/2019	UBS Financial Services Incorporated	ISC	Donald Ray Jackson	Bressler Amery & Ross	NO	NO	G	x			C. Sumpster Logan	1	11/14/2018	PoS	13
18-02712	Phoenix, AZ	07/31/2018	01/28/2019	02/25/2019	Raymond James Financial Services Incorporated; WFG Investments Incorporated	ISC; No-show (WFGI)	Bert Allen Cooper	AdvisorLaw LLC	NO	NO	G	x	x	x	Walter Steven Schwartz	1	12/17/2018	Not	42
18-02731	New York, NY	08/01/2018	03/27/2019	04/12/2019	Aegis Capital Corporation	Sichenzia Ross Ference LLP	Adam Kenneth Stern	Kaufman Dolowich & Voluck	NO	NO	G	x			Amy Jill Baranoff	1	03/18/2019	PoS	9
18-02752	Tampa, FL	08/02/2018	03/02/2019	04/25/2019	American General Securities Incorporated	ISC	Byron Andrew Holz	FA Expungement LLC	NO	NO	G	x			Richard R. Logsdon, Esq.	1	02/17/2019	PoS	13
18-02754	Nashville, TN	08/03/2018	03/18/2019	03/28/2019	HD Vest Investment Services	ISC	Mickey Dean Owen, Jr.	AdvisorLaw LLC	NO	OB	G	x		x	Michael J. Ahlstrom, Esq.	1	01/02/2019	Not	75
18-02756	Boston, MA	08/04/2018	02/12/2019	04/10/2019	Morgan Stanley	ISC	Jonathan Philip Hyett	FA Expungement LLC	NO	NO	G	x			Steven S. Manos	1		UD	
18-02769	Boca Raton, FL	08/06/2018	06/24/2019	07/16/2019	Morgan Stanley Smith Barney LLC; RBC Capital Markets LLC	Dorsey & Whitney (RBCCM); ISC (MSSB)	Robert Brian Sklar	FA Expungement LLC	NO	OB	G	x	x	x	Elena G. Rodriguez	1	05/29/2019	PoS	26
18-02771	Boston, MA	08/03/2018	01/03/2019	01/18/2019	Wells Fargo Clearing Services LLC	ISC	Eric Henry Burt	Wilchins Cosentino Novins LLP	NO	NO	G		x		Frank Sanclemente - Chair; Paul Peter Nicolai; Patrick W. McKeon, Esq.	1		UD	
18-02775	San Francisco, CA	08/07/2018	01/30/2019	04/11/2019	Eplanning Securities Incorporated	No-show	Scott Layne Hultsman	Markun Zusman et al.	NO	NO	G			x	John J. Fitzpatrick, Jr., - Chair; Peter H. Daly; Linda M. McCoy, CPA	1	01/18/2019	Not	12
18-02776	Indianapolis, IN	08/07/2018	02/12/2019	03/28/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael Adam Fish	AdvisorLaw LLC	NO	NO	G	x			William M. Getzoff, Esq.	1	01/04/2019	Not	39
18-02786	New York, NY	08/08/2018	11/19/2018	01/09/2019	American Portfolios Financial Services	ISC	David Gary Rey	RJM Counsel PLLC	NO	NO	G	x	x	x	David I. Goldblatt, Esq.	1		UD	
18-02787	Providence, RI	08/08/2018	11/16/2018	12/11/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Marisa F. Pollard	Kalberer LLP	NO	NO	G	x			Samuel Harrison Chorches, Esq.	1	11/02/2018	Not	14

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-02792	Tampa, FL	08/08/2018	04/29/2019	06/25/2019	SA Stone Wealth Management Incorporated	Maynard Cooper & Gale	Margaret Rucker Hixon	FA Expungement LLC	NO	NO	G		x	x	Nicholas John Taldone, Esq.	1	01/30/2019	PoS	89
18-02813	Birmingham, AL	08/09/2018	12/18/2018	02/20/2019	Raymond James & Associates Incorporated	ISC	Dean Morgan Paugh	Bressler Amery & Ross	NO	NO	G	x	x	x	Harvey R. Linder, Esq.	1	12/06/2018	PoS	12
18-02819	Houston, TX	08/09/2018	02/25/2019	04/08/2019	Raymond James & Associates Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (RJ&A)	Eric A. Dupre	AdvisorLaw LLC	NO	NO	G	x	x	x	Lynne M. Gomez, Esq.	1	01/11/2019	PoS	45
18-02825	New York, NY	08/10/2018	01/08/2019	01/11/2019	JP Morgan Securities LLC	ISC	Ling Yung Wu	Satterlee Stephens LLP	NO	UN	D				Lorrie E. Whitfield	1			
18-02835	Cincinnati, OH	08/10/2018	03/18/2019	04/10/2019	Edward Jones	Miller Canfield et al.	William Milton Lendl	HLBS Law	NO	NO	G	x	x		Richard W. Dissen, Esq.	1	01/30/2019	Not	47
18-02860	Baltimore, MD	08/13/2018	06/27/2019	07/09/2019	Morgan Stanley DW Incorporated	ISC	Franklyn Edgerton Clarke	Robert Wayne Pearce P.A.	NO	NO	G		x		Richard E. Lauziere, CPA	1	05/13/2019	Not	45
18-02867	Birmingham, AL	08/14/2018	12/19/2018	01/15/2019	Raymond James & Associates Incorporated	ISC	James C. Salem	Bressler Amery & Ross	NO	NO	G	x		x	Earle J. Schwarz, Esq.	1	11/07/2018	Not	42
18-02870	Milwaukee, WI	08/14/2018	02/22/2019	03/28/2019	BC Ziegler & Company	Quarles & Brady	Denise Marie Klemens	AdvisorLaw LLC	NO	NO	G	x	x		Gregory G. Gocek	1	01/16/2019	PoS	37
18-02902	New York, NY	08/16/2018	03/01/2019	05/13/2019	EKN Financial Services Incorporated; National Securities Corporation	ISC	Scott David Shames	FA Expungement LLC	NO	NO	G	x	x	x	Richard Gee	1		UD	
18-02903	New York, NY	08/16/2018	04/17/2019	05/17/2019	National Securities Corporation; Vfinance Investments Incorporated	ISC	Jay Shah	FA Expungement LLC	NO	NO	G/D		x		Julian F. Santos, Esq.	1		UD	
18-02904	New York, NY	08/16/2018	02/07/2019	02/21/2019	Avalon Partners Incorporated	No-show	Jay Shah	FA Expungement LLC	NO	NO	G	x	x		Sam Antar, Esq.	1		UD	
18-02905	Philadelphia, PA	08/16/2018	04/03/2019	06/18/2019	FSC Securities Corporation	ISC	Alfred Francis Matarazzo Jr.	FA Expungement LLC	NO	NO	G/D		x		Patrick Richard Westerkamp, Esq.	1		UD	
18-02908	Dallas, TX	08/16/2018	04/25/2019	06/17/2019	Wachovia Securities Incorporated	ISC	Marvin Dean Ferguson	FA Expungement LLC	NO	OB	G	x	x		Andrea U. Calve, Esq.	1	03/29/2019	PoS	27
18-02932	Milwaukee, WI	08/17/2018	01/28/2019	02/25/2019	BC Ziegler & Company	Quarles & Brady	Andrew Michael Wizarde	AdvisorLaw LLC	NO	NO	G	x			Leon Fox, JD	1	12/21/2018	Not	38
18-02936	New York, NY	08/20/2018	05/06/2019	05/22/2019	Aegis Capital Corporation; GunnAllen Financial Incorporated; State Capital Markets Corporation	Kaufman Dolowich Voluck LLP (AC); No-show (GAF, SCM)	Nick Eugene Son	FA Expungement LLC	NO	NO	G	x	x	x	Arthur Neil Tolciss, Esq.	1		UD	
18-02942	Milwaukee, WI	08/20/2018	03/06/2019	05/16/2019	B.C. Ziegler & Company	Quarles & Brady	William Gerard Morse	AdvisorLaw LLC	NO	NO	G	x		x	David J. Hase, Esq.	1	01/04/2019	Not	61

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000Z100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-02958	Newark, NJ	08/21/2018	03/06/2019	03/15/2019	American Portfolios Financial Services Incorporated	ISC	Chi-Hong Chu	RJM Counsel PLLC	NO	NO	G		x		Patrick Richard Westerkamp, Esq.	1		UD	
18-02979	Los Angeles, CA	08/23/2018	02/26/2019	04/02/2019	Transamerica Financial Advisors Incorporated	ISC	Jeffrey M. Sorensen	HLBS Law	NO	NO	G		x		Joyce L. Hurley	1	01/18/2019	Not	39
18-02999	Boca Raton, FL	08/24/2018	03/20/2019	03/26/2019	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Mark Richard Maller	Jonathan D. Kaney III, Attorney-at-Law	NO	NO	G	x	x	x	Steven Gerard Goerke, Esq. - Chair; Barry David Thorpe (fka Barry K. Thorpe, Esq.); Howard L. Conklin, Esq.	1	03/07/2019	Not	13
18-03000	San Juan, PR	08/31/2018	01/24/2019	01/28/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	David L. Rojas	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Gerald Silverman, Esq.	1	08/27/2018	Not	150
18-03001	San Juan, PR	08/24/2018	03/28/2019	04/17/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	David L. Rojas	Toro Colon Mullet PSC	NO	OB	G	x	x		Seth L. Finkel, Esq.	1	08/27/2018	Not	213
18-03012	Detroit, MI	08/26/2018	03/22/2019	04/23/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Martin Lee Schroeder	None	NO	NO	G		x		Michael James Malone - Chair; Jeffrey Mark Bauer, Esq.; Anthony J. Bove, III	1	03/20/2019	PoS	2
18-03036	Boca Raton, FL	08/27/2018	02/19/2019	02/26/2019	Independent Financial Group LLC; Quick & Reilly Incorporated	Bressler Amery & Ross (Q&R); ISC (IFG)	William David Isaacson	HLBS Law	NO	NO	G	x	x		Mark Allen Bilawsky	1	01/16/2019	Not	34
18-03041	Columbia, SC	08/28/2018	05/08/2019	06/13/2019	Raymond James Financial Services Incorporated	ISC	Joseph David Schofield III	Matasar Jacobs LLC	NO	NO	G		x	x	Maurice M. Feller, Esq.	1	03/06/2019	Not	63
18-03049	Los Angeles, CA	08/28/2018	03/01/2019	04/09/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Richard Jay Zinman	Law Office of Patrick R. Mahoney	NO	NO	G	x	x	x	Michael D. Harrison, Esq.	1	02/07/2019	PoS	22
18-03060	Denver, CO	08/29/2018	05/07/2019	05/14/2019	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	James William McLellan	HLBS Law	NO	NN	D				Marilyn R. Lewis, Esq.	1		CNF	
18-03098	Detroit, MI	08/30/2018	04/04/2019	05/23/2019	Leonard & Company; Broad Street Securities Incorporated; Newbridge Securities Corporation	Kaufman Dolowich & Voluck (NS); No-show (L, BSS)	James William McLellan	HLBS Law	NO	NO	G		x		Tracy L. Allen, Esq.	1	03/12/2019	PoS	23
18-03114	Philadelphia, PA	09/04/2018	02/04/2019	02/08/2019	TD Ameritrade Incorporated	ISC	Dominic Fredo Galati	Miles & Stockbridge	NO	NO	G		x		Carol H. Gold, Esq.	1		UD	
18-03140	Boca Raton, FL	09/06/2018	03/04/2019	03/06/2019	Wells Fargo Clearing Services LLC	ISC	Jeffrey Newman	Stein & Stein	NO	NO	G	x			Paul J. Burkhardt - Chair; Mitchell Stephen Feig; Karen Z. Fischer	1	08/24/2018	CR	192

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000Z130 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-03152	Seattle, WA	09/06/2018	06/03/2019	07/03/2019	Pacific West Securities Incorporated	No-show	Erinn June Ford; Jeffrey Scott Sims	Markun Zusman et al.	NO	UN	D				Paul R. Meyer, Esq. - Chair; David S. Gonzalez, CPA; Margaret Hotopp	1		UN	
18-03154	Seattle, WA	09/06/2018	05/31/2019	07/03/2019	Pacific West Securities Incorporated	No-show	Erinn June Ford; Jeffrey Scott Sims	Markun Zusman et al.	NO	NO	G			x	Katherine Hendricks, Esq. - Chair; Ian Stephen Birk; Paul A. Maffeo	1	01/15/2019	Not	136
18-03156	Seattle, WA	09/06/2018	05/01/2019	05/29/2019	Pacific West Securities Incorporated	No-show	Erinn June Ford	Markun Zusman et al.	NO	NO, NN	G			x	Katherine Hendricks, Esq. - Chair; William J. Bender, Esq.; Jeanne C. Stilwell	1		CNF	
18-03166	Manchester, NH	09/07/2018	01/24/2019	02/07/2019	Wells Fargo Advisors Financial Network	ISC	Colleen E. Farley	FA Expungement LLC	NO	NO	G	x	x		Samuel Harrison Chorches, Esq.	1		UD	
18-03173	Pittsburgh, PA	09/07/2018	03/08/2019	04/15/2019	Lincoln Financial Distributors Incorporated	ISC	Justin M. Bonavitacola	Kaufman Dolowich & Voluck	NO	NO	G	x		x	John F. Burns, Esq.	1	03/04/2019	PoS	4
18-03196	Miami, FL	09/10/2018	04/24/2019	06/20/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross	Thomas A. Zur	HLBS Law	NO	NO	G	x	x	x	Will Murphy, Esq.	1	02/07/2019	PoS	76
18-03213	San Diego, CA	09/12/2018	03/20/2019	04/23/2019	LPL Financial LLC	ISC	Nisha Sandeep Varma	HLBS Law	NO	NO	G	x	x	x	Kevin K. Forrester, Esq.	1	01/16/2019	Not	63
18-03214	San Diego, CA	09/12/2018	04/12/2019	05/06/2019	Sagepoint Financial Incorporated	ISC	Peter Ivan Michael Shusterman	HLBS Law	NO	NO	G		x		Kevin K. Forrester, Esq.	1	01/23/2019	Not	79
18-03225	New York, NY	09/14/2018	02/13/2019	04/08/2019	JP Morgan Securities LLC; Wells Fargo Clearing Services LLC	Satterlee Stephens LLP (JPMS); ISC (WFCS)	John Andrew Nelson	Law Offices of Jordan D. Becker	NO	NO	G	x	x	x	Gerald M. Levine	1		UD	
18-03254	Baltimore, MD	09/17/2018	04/09/2019	06/06/2019	Legg Mason Wood Walker Incorporated; Citigroup Global Markets Incorporated; Morgan Stanley	Bressler Amery & Ross (CGM); ISC (MSSB); No-show (LMWW)	Ronald R. Wetzel Jr.	AdvisorLaw LLC	NO	NO	G/D	x	x		James W. (Jim) Geiger	2	01/30/2019	Not	69
18-03262	New York, NY	09/18/2018	02/14/2019	03/04/2019	GunnAllen Financial Incorporated	ISC	Raffaele Gambardella	FA Expungement LLC	NO	NO	G	x	x	x	Gerald M. Levine	1	02/13/2019	PoS	1
18-03264	New York, NY	09/18/2018	03/14/2019	05/14/2019	Continental Broker-Dealer Corporation; National Securities Corporation	ISC	Michael Fasciglione	FA Expungement LLC	NO	NO	G	x	x		Michele S. Riley	2	02/17/2018	PoS	390
18-03265	New York, NY	09/18/2018	05/01/2019	05/30/2019	JP Morgan Securities LLC; Morgan Stanley	Satterlee Stephens LLP (JPMS); ISC (MSSB)	Ronald Stillman Cole	Weltz Law PC	NO	NO	G/D	x	x		Jill Pilgrim, Esq.	2	04/01/2019	Not	30
18-03267	Los Angeles, CA	09/18/2018	02/13/2019	03/04/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Matthew Martin Howley	Kalberer LLP	NO	NO	G	x	x		Kirtley M. Thiesmeyer, Esq.	1	02/06/2019	PoS	7
18-03296	Boston, MA	09/19/2018	05/29/2019	06/19/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Natasha Helen Lessard	FA Expungement LLC	NO	NO	G	x			Peter M. Cosel	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000/2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
18-03332	Los Angeles, CA	09/21/2018	06/07/2019	06/17/2019	JP Turner & Company LLC	ISC	Robert Joseph Binkele	FA Expungement LLC	NO	NO	G	x	x	x	Anthony D. DeToro, Esq.	1	04/09/2019	Not	59
18-03335	Wichita, KS	09/21/2018	02/27/2019	04/05/2019	Customers only	Customer	David E. Shoemith	Crowe & Dunlevy	NO	NO	G	x	x		Michael William Gear - Chair; Robert J. Gregory; Jonathan H. Larson, Esq.	1		Rs	
18-03368	Birmingham, AL	09/25/2018	02/20/2019	06/24/2019	Raymond James & Associates Incorporated	ISC	David Reid Petty	Bressler Amery & Ross	NO	NO	G	x			Debra Black Leo	2	02/01/2019	Not	19
18-03405	Memphis, TN	09/27/2018	02/12/2019	03/06/2019	B. Riley Wealth Management Incorporated	ISC	Albert May Alexander Jr.	Baker Donelson et al.	NO	NO	G	x		x	Langfred W. White, Esq.	1	02/08/2019	CR	4
18-03406	San Diego, CA	09/27/2018	04/04/2019	05/31/2019	Centaurus Financial Incorporated	ISC	Michael Raymond Frager	R. Craig Zafis APC	NO	NO	G		x		Mitchell Lee Lathrop	1		UD	
18-03423	Raleigh, NC	09/28/2018	05/02/2019	06/07/2019	Morgan Keegan & Company LLC	ISC	Kenneth Vincent Nelson	FA Expungement LLC	NO	NO	G			x	Richard James Igou	1	03/19/2019	PoS	44
18-03427	Chicago, IL	09/28/2018	03/05/2019	04/03/2019	World Equity Group Incorporated	ISC	Dennis Patrick Ryan Jr.	AdvisorLaw LLC	NO	NO	G		x		Leon Fox, JD	1	01/30/2019	PoS	34
18-03439	New York, NY	10/01/2018	05/23/2019	06/14/2019	Morgan Stanley Smith Barney LLC	ISC	James C. Steele	Law Offices of Kevin T. Hoffman	NO	NO	G	x			Cynthia A. DiMarco, Esq. - Chair; Brian John Gallagher; Mark J. Russell	1	03/15/2019	PoS	69
18-03457	Newark, NJ	10/02/2018	05/09/2019	05/23/2019	JW Barclay & Company Incorporated; Newbridge Securities Corporation	Kaufman Dolowich & Voluck (NS); ISC (JWB)	Gerald Richard Sharpe Jr.	FA Expungement LLC	NO	NO	D				Julian F. Santos, Esq.	1	03/19/2019	PoS	51
18-03458	Manchester, NH	10/02/2018	05/30/2019	06/13/2019	Citigroup Global Markets Incorporated; Wells Fargo Advisors Financial Network	Bressler Amery & Ross (CGM); ISC (WFAFN)	Robert Robbins	FA Expungement LLC	NO	NO	G	x	x		Robert S. Hark, Esq.	1	04/23/2019	PoS	37
18-03459	Chicago, IL	10/02/2018	05/07/2019	05/14/2019	Wells Fargo Clearing Services LLC	ISC	Scott Charles Kurkjian	FA Expungement LLC	NO	NO, UN	D				Jonathan B. Gilbert, Esq.	1		UN	
18-03468	Boca Raton, FL	10/03/2018	06/07/2019	07/12/2019	Morgan Stanley Smith Barney LLC	ISC	Luis J. Alayo-Riera	Sallah Astarita & Cox	NO	NO	G			x	Monica I. Salis, Esq.	1	06/03/2019	Not	4
18-03476	Boca Raton, FL	10/03/2018	04/23/2019	05/08/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Brett Charles Oley	HLBS Law	NO	NO	G	x	x		James W. Geiger, Esq.	1	03/27/2019	PoS	27
18-03479	Miami, FL	10/04/2018	03/05/2019	04/08/2019	Morgan Keegan & Company	ISC	Alejandro Mendieta	Winget Spadafora & Schwartzberg	NO	NO	D				Sidney J. Wartel, JD	1	03/01/2019	PoS	4
18-03482	Miami, FL	10/04/2018	03/05/2019	04/02/2019	Morgan Keegan & Company	ISC	Alejandro Mendieta	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		Mark C. Perry, Esq.	1	03/01/2019	PoS	4
18-03484	Miami, FL	10/04/2018	02/05/2019	02/15/2019	Morgan Keegan & Company LLC	ISC	Alejandro Mendieta	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		Mark Allen Bilawsky	1	01/31/2019	PoS	5
18-03509	Boca Raton, FL	10/08/2018	02/26/2019	02/27/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Gregory James O'Hare	Baritz & Colman	NO	NO	G		x		Carl Shechter, Esq.	1	02/15/2019	Not	11

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.s.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2130 Findings			Hrg. Sess.	Notice			
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																			Before First Hearing
18-03530	New York, NY	10/09/2018	03/29/2019	04/12/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; et al.	Bressler Amery & Ross	Johnson George Andrews	None	NO	NO	G			x	Roger B. Jacobs - Chair; Harrison Johnson; Robert A. Cohen, Esq.	1		Rs	
18-03545	Dallas, TX	10/10/2018	04/22/2019	06/05/2019	Sagepoint Financial Incorporated	ISC	Heath Patrick Abernathy	Jardim Meisner & Susser	NO	NO	G	x	x		James W. Kerr, Jr.	1	04/17/2019	PoS	5
18-03558	San Juan, PR	10/10/2018	04/10/2019	04/23/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Hermann Josef Hartell	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Martin A. Feigenbaum, Esq.	1	04/01/2019	Not	9
18-03567	Hartford, CT	10/11/2018	02/12/2019	02/26/2019	HD Vest Investment Services	ISC	Mark Edwards	AdvisorLaw LLC	NO	NO	G	x	x		Samuel Harrison Chorchos, Esq.	1		UD	
18-03570	Dallas, TX	10/11/2018	03/26/2019	04/22/2019	JP Morgan Securities LLC	Satterlee Stephens LLP	Rhyan Khawar Young	AdvisorLaw LLC	NO	OB	G/D	x	x		Jeff Howard Abrams	1	02/27/2019	PoS	27
18-03591	Boca Raton, FL	10/15/2018	03/21/2019	04/02/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark Miller	Baritz & Colman	NO	NO	G	x			Carl Shechter, Esq.	1	02/28/2019	Not	21
18-03613	San Juan, PR	10/17/2018	03/12/2019	03/27/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Alfonso Luis Boneta	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Louis David Huss	1	03/06/2019	PoS	6
18-03619	New York, NY	10/23/2018	03/22/2019	04/05/2019	RBC Capital Markets LLC; Wells Fargo Clearing Services LLC fka First Union Securities Incorporated	Dorsey & Whitney (RBCCM); ISC (WFCS)	Gerald Irwin Maisner	Kalberer LLP	NO	OB	G		x		Steven C. Kasarda	1		UD	
18-03626	Chicago, IL	10/25/2018	06/13/2019	06/26/2019	Wells Fargo Clearing Services LLC	ISC	Elias Solomon Friedman	Law Offices of Joshua B. Kons	NO	NO	G	x	x		Thomas Michael Genovese	1	05/24/2019	PoS	20
18-03638	Charlotte, NC	10/19/2018	06/04/2019	07/11/2019	Corecap Investments Incorporated; Financial West Group	ISC (CI); No-show (FWG)	Melody Ann Juge	FA Expungement LLC	NO	NO	G	x			Dwane Edward Vickstrom	1	04/09/2019	PoS	56
18-03643	New Orleans, LA	10/19/2018	07/15/2019	07/29/2019	Ameriprise Financial Services Incorporated	ISC	Charles Lee Simmons	FA Expungement LLC	NO	OB	G	x			Christine L. Stetson, Esq.	1	06/10/2019	CR	35
18-03657	Phoenix, AZ	10/22/2018	05/28/2019	06/28/2019	Invest Financial Corporation	ISC	Paul Douglas Axberg	FA Expungement LLC	NO	OB	G	x	x	x	Timothy J. Kroll, MS	1	03/26/2019	PoS	63
18-03665	Houston, TX	11/19/2018	04/29/2019	05/20/2019	Wunderlich Securities Incorporated	ISC	Lance Eric Roberts	AdvisorLaw LLC	NO	NO	G	x	x		Lynne M. Gomez, Esq.	1	03/15/2019	Not	45
18-03666	San Diego, CA	10/23/2018	06/07/2019	07/05/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ken Morris	Law Office of Patrick R. Mahoney	NO	NO	G	x	x		Kevin K. Forrester, Esq.	1	04/05/2019	Not	63

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-03682	Los Angeles, CA	10/23/2018	05/16/2019	05/31/2019	Securities America Incorporated	Freeman Mathis & Gary	Brian M. Levy	HLBS Law	NO	NO	G	x			1	03/29/2019	Not	48	
18-03703	New York, NY	10/25/2018	05/14/2019	06/04/2019	Invest Financial Corporation	ISC	Peter Dizdar	Imbesi Law PC	NO	NO	G	x	x		1	04/10/2019	PoS	34	
18-03708	Miami, FL	10/25/2018	05/22/2019	05/28/2019	Ameriprise Financial Services Incorporated	Murphy & Anderson	Riad Shanawany	HLBS Law	NO	NO	G	x			1	03/29/2019	PoS	54	
18-03709	Newark, NJ	10/25/2018	06/14/2019	06/24/2019	Wells Fargo Advisors LLC	ISC	Walter Rocco Kukowski	Sher Tremonte LLP	NO	NO	G		x		1		UD		
18-03725	Newark, NJ	10/26/2018	03/28/2019	05/08/2019	Cetera Advisor Networks LLC	ISC	Debra Helen Taylor	Bressler Amery & Ross	NO	OB	D				1	03/08/2019	Not	20	
18-03736	Los Angeles, CA	10/29/2018	03/19/2019	04/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ronald Louis Valpey	HLBS Law	NO	NN	G		x		1		CNF		
18-03738	San Diego, CA	10/29/2018	07/18/2019	07/30/2019	Sagepoint Financial Incorporated	No-show	Peter Ivan Michael Shusterman	HLBS Law	NO	NO	G	x	x		1	04/01/2019	Not	108	
18-03742	New York, NY	10/30/2018	01/18/2019	01/31/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Bradley L. Barber	None	NO	NO	G			x	1		UD		
18-03745	Seattle, WA	10/30/2018	03/11/2019	05/03/2019	Cambridge Investment Research Incorporated; Mory Securities Corporation	ISC	Paul K. Doak	The Dale Law Firm PC	NO	OB	G/D			x	1	02/12/2019	Not	27	
18-03767	Chicago, IL	10/31/2018	05/15/2019	06/05/2019	NYLIFE Securities LLC	Lubarsky Law Firm PLLC	Jason P. Spears	None	NO	NO, UN	D				1		UN		
18-03798	Newark, NJ	11/01/2018	04/30/2019	05/02/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	John Lahoud	Crowe & Dunlevy	NO	NO	G		x		1		UD		
18-03828	St. Louis, MO	11/05/2018	03/19/2019	04/26/2019	Cetera Investment Services LLC	ISC	Eileen Rose Kanoski	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		1	03/18/2019	PoS	1	
18-03864	Boca Raton, FL	11/07/2018	07/24/2019	07/31/2019	LPL Financial LLC	ISC	Julie Hermes Castillo	None	NO	OB	D				1	07/10/2019	PoS	14	
18-03909	Dallas, TX	11/12/2018	04/17/2019	05/17/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jeff Malcolm Davis	AdvisorLaw LLC	NO	NO	G	x			1	03/08/2019	PoS	40	
18-03926	Newark, NJ	11/14/2018	04/30/2019	05/16/2019	Nationwide Planning Associates Incorporated	ISC	Keith Joseph Steidle	Stark & Stark	NO	NO	G	x	x		1		UD		
18-03928	Seattle, WA	11/14/2018	05/30/2019	07/19/2019	Pacific West Securities Incorporated	No-show	Jeffrey Scott Sims	Markun Zusman et al.	NO	UN	D				1		UN		
18-03932	New York, NY	11/14/2018	05/20/2019	05/23/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Prakash Chandru Shahani	Wolper Law Firm PA	NO	NO	G	x	x		1	05/09/2019	PoS	11	
18-03982	San Francisco, CA	11/20/2018	04/30/2019	05/28/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ting Xie O'Connor	HLBS Law	NO	OB	G		x		1	04/03/2019	Not	27	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
18-03991	Boston, MA	11/20/2018	07/17/2019	07/30/2019	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated; LPL Financial LLC	Bressler Amery & Ross (CGM); Riker Danzig et al. (UBSFS); ISC (LPLF)	Michael Anthony Abramo	Ghabai Law Group LLC	NO	OB	G	x	x		1	06/20/2019	PoS	27	
18-04016	Pittsburgh, PA	11/23/2018	05/03/2019	05/31/2019	HD Vest Investment Services Incorporated	ISC	Ivana G. Liberatore	Michael J. Betts LLC	NO	NO	G	x	x		1	04/25/2019	PoS	8	
18-04018	Boca Raton, FL	11/21/2018	05/02/2019	05/13/2019	Morgan Stanley	ISC	Alyssa Jeanette Rakovich	Jenks & Harvey	NO	NO	G	x	x		1	04/25/2019	PoS	7	
18-04027	Los Angeles, CA	11/27/2018	06/20/2019	06/28/2019	Sagepoint Financial Incorporated	ISC	Hatem Ben Dhiab	HLBS Law	NO	OB	D				1	05/01/2019	Not	50	
18-04038	Seattle, WA	11/27/2018	05/24/2019	07/23/2019	Cetera Advisors LLC; Pacific West Securities Incorporated	ISC (CA); No-show (PWS)	Erinn June Ford	Markun Zusman et al.	NO	NO	G			x	1	03/25/2019	Not	60	
18-04050	Las Vegas, NV	11/28/2018	05/02/2019	05/24/2019	Raymond James Financial Services Incorporated	ISC	Robert Z. Disman	AdvisorLaw LLC	NO	OB	D				1	03/28/2019	Not	35	
18-04052	St. Louis, MO	11/28/2018	04/18/2019	06/10/2019	UBS Financial Services Incorporated	ISC	Robert Calhoun Curtis	Riker Danzig et al.	NO	NO	G	x	x		1	04/05/2019	Not	13	
18-04078	Atlanta, GA	11/29/2018	05/15/2019	05/24/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Elizabeth Ann Sum-Slaughter	AdvisorLaw LLC	NO	UN	D				1		UN		
18-04105	Chicago, IL	11/30/2018	06/17/2019	07/05/2019	Chicago Investment Group LLC	No-show	Mary Jo Hayes	Kopecky Schumacher Rosenburg PC	NO	NO	G	x	x	x	1	05/28/2019	PoS	20	
18-04144	Chicago, IL	12/06/2018	06/11/2019	06/25/2019	MONY Securities Corporation	ISC	Richard Bruno Casolari	FA Expungement LLC	NO	NO, UN	D				1		UN		
18-04223	Houston, TX	12/10/2018	06/24/2019	07/23/2019	Wells Fargo Clearing Services LLC	ISC	William Joseph Molfetto	Locke Lord LLP	NO	NO	G		x		1	12/10/2018	PoS	196	
18-04240	Newark, NJ	12/14/2018	06/17/2019	07/03/2019	Paragon Capital Markets Incorporated; JW Barclay & Company Incorporated; First Montauk Securities Corporation	ISC	Gerald Richard Sharpe	FA Expungement LLC	NO	NO	G	x	x	x	1		UD		
18-04241	Minneapolis, MN	12/14/2018	06/21/2019	07/16/2019	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	Michael Todd Hogan	Wolper Law Firm P.A.	NO	NO	G	x	x		1	06/10/2019	PoS	11	
18-04242	Portland, OR	12/14/2018	06/07/2019	07/08/2019	Edward Jones	ISC	Thomas A. Walker Jr.	Wolper Law Firm PA	NO	NO	G		x		1	05/24/2019	CR	14	
18-04260	Detroit, MI	12/17/2018	06/10/2019	06/21/2019	Wells Fargo Clearing Services LLC	ISC	Lee Walter Miller	Joseph H. Spiegel PLLC	NO	NO	G			x	1	06/02/2019	PoS	8	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.1(b) Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days
18-04271	San Juan, PR	12/17/2018	04/23/2019	05/01/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Thomas Garity	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Martin A. Feigenbaum, Esq.	1	04/18/2019	PoS	5
18-04283	New York, NY	12/18/2018	06/10/2019	07/11/2019	Equity Services Incorporated	Winget Spadafora & Schwartzberg	Mitchell George Rubin	AdvisorLaw LLC	NO	UN	G	x	x		Madelon M. Rosenfeld, Esq.	2		UD	
18-04299	New York, NY	12/19/2018	04/26/2019	06/12/2019	JP Morgan Securities LLC	ISC	Robert Ray Craig	Becker Glynn et al.	NO	NO	G	x	x		Robert E. Anderson, Esq. - Chair; Kimberly C. Lawrence; Bertrand Charles Sellier	1	02/13/2019	Not	72
18-04306	Boca Raton, FL	12/19/2018	06/24/2019	07/17/2019	Kestra Investment Services LLC; Securities America Incorporated	D'Amura & Zaidman (KIS); ISC (SA)	Richard Patrick Kiesel	Wiand Guerra King P.A.	NO	NO	G	x		x	Mark C. Perry, Esq. - Chair; Carl Shechter, Esq.; Steven M. Greenbaum, Esq.	1	06/14/2019	PoS	10
18-04320	Hartford, CT	12/20/2018	06/19/2019	06/28/2019	Ameriprise Financial Services Incorporated	ISC	Matthew Clark Couzens	AdvisorLaw LLC	NO	NO	G	x			Samuel Harrison Chorches, Esq.	1	01/30/2019	PoS	140
18-04324	Phoenix, AZ	12/20/2018	07/08/2019	07/16/2019	Wells Fargo Clearing Services LLC	ISC	Donald Edwin Burton, II	HLBS Law	NO	NO	G		x		W. Michael Kelley, Esq.	1	06/05/2019	Not	33
18-04326	Seattle, WA	12/20/2018	07/15/2019	07/22/2019	Morgan Stanley	ISC	Denise F. Leong	AdvisorLaw LLC	NO	UN	D				Joseph C. Roberts, Esq.	1		UN	
18-04332	Wichita, KS	12/20/2018	06/19/2019	07/25/2019	HD Vest Investment Services	ISC	Steven Ray Baumrucker	AdvisorLaw LLC	NO	OB	G		x	x	Joseph Neal Richardson	1	05/16/2019	Not	34
18-04333	Houston, TX	12/20/2018	07/02/2019	07/22/2019	RBC Capital Markets LLC	Dorsey & Whitney	Harvey Hamilton Hardee	AdvisorLaw LLC	NO	NO	G	x	x		Lynne M. Gomez, Esq.	1	05/29/2019	PoS	34
18-04334	Detroit, MI	01/04/2019	06/24/2019	07/18/2019	AG Edwards & Sons Incorporated	ISC	Adam David Schwallier	HLBS Law	NO	NO	G	x			Tracy L. Allen, Esq.	1	05/22/2019	PoS	33
18-04347	New York, NY	12/21/2018	06/20/2019	07/22/2019	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Edward Thomas Stellingwerf	AdvisorLaw LLC	NO	NO	G	x			Richard A. Cini	1		UD	
18-04356	New York, NY	12/24/2018	06/19/2019	07/01/2019	Quick & Reilly Incorporated	Bressler Amery & Ross	Jeffrey Frank Damasco	AdvisorLaw LLC	NO	NO	G		x		Albert Rizzo	1	05/24/2019	PoS	26
18-04365	Los Angeles, CA	12/20/2018	07/24/2019	07/29/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Alexandra Kulmaticki	HLBS Law	NO	NO	D				Robert B. Hansohn	1	06/24/2019	Not	30
18-04370	Atlanta, GA	12/21/2018	07/09/2019	07/18/2019	Morgan Keegan & Company LLC	ISC	Malon Murray Wickham	AdvisorLaw LLC	NO	NO	G	x	x	x	Michael J. Ahlstrom, Esq.	1	05/15/2019	Not	55
18-04371	Atlanta, GA	12/21/2018	06/27/2019	07/24/2019	Securities America Incorporated	ISC	Rick Lee Kent	AdvisorLaw LLC	NO	NO	G	x			Harvey R. Linder, Esq.	1	05/28/2019	Not	30
18-04385	Houston, TX	12/20/2018	07/23/2019	07/29/2019	H Beck Incorporated	Cetera Financial Group	Steven Howard Orr	AdvisorLaw LLC	NO	OB	G		x		Lynne M. Gomez, Esq.	1	06/18/2019	Not	35
18-04388	Dallas, TX	12/28/2018	05/15/2019	07/16/2019	Raymond James Financial Services Incorporated	ISC	Bill Edward Carter	AdvisorLaw LLC	NO	NO	G		x		Frances Johnson-Wright, Esq.	2	04/03/2019	Not	42

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respds.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000/2100 Findings			Arbitrator Names	Hrg. Sessions	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
18-04410	Philadelphia, PA	12/26/2018	05/15/2019	05/28/2019	TFS Securities Incorporated	ISC	Theodore Joseph Durante	AdvisorLaw LLC	NO	NO	G	x			Guillermo L. Bosch, Esq.	1	03/29/2019	Not	47
18-04412	Seattle, WA	12/26/2018	06/17/2019	07/24/2019	Morgan Stanley	ISC	Kathleen M. Hobart	AdvisorLaw LLC	NO	OB	G	x	x		Paul R. Meyer, Esq.	1	05/15/2019	PoS	33
18-04413	Seattle, WA	12/26/2018	07/08/2019	07/24/2019	Raymond James & Associates Incorporated	ISC	Kathleen M. Hobart	AdvisorLaw LLC	NO	NO	G	x			William Michael Samsel	1	06/05/2019	Not	33
18-04414	New Orleans, LA	12/26/2018	07/02/2019	07/16/2019	AG Edwards & Sons Incorporated	ISC	Nita R. Pastor	AdvisorLaw LLC	NO	OB	G	x			Sherry R. Wetsch, Esq.	1	05/31/2019	Not	32
18-04428	New York, NY	12/26/2018	06/12/2019	06/24/2019	Customers only	Customer	Rocco Gerard Guidici Pietro	Holcomb & Ward	NO	NO	G	x	x		Keely D. Parr, Esq.	1		Rs	

**Abbreviations:**

*	No venue stated in Award
BD	Broker-Dealer
Bkr	Broker
Cmr	Customer
Cs	Claimant
Rs	Respondent
Hrg Sess	No. of Hearing Sessions
D	All expungement requests denied or withdrawn
G	All expungement requests granted
G/D	Expungement requests partially granted and partially denied

Customer and Respondent Objections

E	Respondent filed a motion to dismiss based on the six-year eligibility rule (Arbitration Rule 13206)
NN	Customers received no notice
NO	Award states that no one (either respondents or customers and their representatives) objected to expungement
OB	At least one person (either respondents or customers and their representatives) objected to expungement
UK	Unknown whether respondent objected to expungement
UN	Unstated whether customers received notice

Notice Details

BLH	Notice date was after the first hearing but before a later hearing
CNF	Notice not given because all customers could not be found
CR	Date customer responded (if different from first hearing date)
Dec	Notice not given because all customers were deceased
Not	Date notice was sent to the customer or sending of notice was reported to FINRA
NSR	Customer not required to be served
OAH	Arbitrator ordered notice to the customer on the day of or after the first hearing
Ots	Date notice to customer was ordered by the panel (or, where indicated by "stip," was stipulated by the parties)
PoS	Date proof of service was filed with FINRA (if different than first hearing date)
Rs	Customer was respondent
SD	Date of deadline to serve notice
UD	Notice to customer reported, but the date is not reported
UN	Unstated whether customers received notice

NOTES:

The "Names of Respondents" field only includes the names of respondent broker-dealers. Customers and individual brokers are not named, but are indicated by "et al." after the names of the broker-dealers. If no broker-dealer is named as a respondent, the field will read "Customers only."

The "Respondents' Attorneys" and Claimants' Attorneys" fields will only identify the names of the outside law firms representing broker-dealers or brokers. If a customer is named as a respondent, the field will simply note that fact. "ISC" means that a broker-dealer was represented by inside counsel. "No-show" means that a broker-dealer did not enter an appearance in the case. "None" means that a broker represented himself or herself. If there are two or more broker-dealers with different representation (e.g., different law firms, one or more represented by outside counsel and other(s) represented by ISC, or one or more entered an appearance and other(s) did not), the broker-dealers will be distinguished by initials in parentheses after their representation (e.g., "Bressler Amery & Ross (UBSFS); ISC (MSSB)").

In some cases, the Award states that the customers did not object, but does not state whether the customer was served or indicates that the customer was not served.

A negative number in the "Days Before First Hearing" field indicates the number of days after the first hearing.

In Docket No. 15-03455, after the hearing, the Panel ordered claimant to produce proof of service and the claimant then served notice on the customer.

Exhibit B

Brokers Granted/Denied Expungement in Industry-Initiated Awards Issued 1/1/15 - 7/31/19

Sorted by: Docket #



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Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
15-00093	Michael Joseph Kleinfelder	N/A	1	G
15-00168	Roberto Luis Rivera Vazquez	N/A	5	G
15-00170	Brian Raymond Nelson	N/A	1	G
15-00221	Brett Hina	N/A	1	G
15-00251	Keith J. Steidle	N/A	1	G
15-00386	Richard Scott Zinman	N/A	4	G
15-00392	Michael E. Magruder	N/A	1	G
15-00419	Gary Louis Breda	N/A	1	G
15-00428	Scott David Blair	N/A	1	G
15-00438	Allan Dean Yarkin	N/A	2	G
15-00537	Andrew Clark Blease	N/A	1	G
15-00843	Susan Poller-Newman	N/A	1	G
15-00894	N/A	Neil David Boyle	Unknown	D
15-00934	Jay Maltby	N/A	1	G
15-01085	Martin Oberman	N/A	1	G
15-01235	Thomas Durr Lips	N/A	1	G
15-01276	N/A	Jerry Enoch Stroud	1	D
15-01283	Lisa Ann Detanna	N/A	3	G
15-01357	Dustin E. Leach	N/A	1	G
15-01376	Karl Austin Pettijohn	N/A	1	G
15-01377	Richard P. Arzaga	N/A	1	G
15-01403	Lisa Ann Detanna	N/A	1	G
15-01458	John Mark Kever	N/A	1	G
15-01463	Stephanie Kelly	N/A	1	G
15-01493	Anita Marie D'Aguilar	N/A	1	G
15-01503	Joseph Shimko	N/A	1	G
15-01548	Gary Cremona	N/A	3	G/D
15-01601	Raymond T. Klosz	N/A	1	G
15-01636	Michael Charles Vogel	N/A	1	G
15-01778	Peter Joseph Klein	N/A	2	G
15-01780	Marc Kalter	N/A	1	G
15-01887	Ioana E. Cioc	N/A	1	G
15-01969	V. John Threlkeld	N/A	2	G
15-02144	Marc C. Seward	N/A	2	G
15-02207	Eric James Schindler	N/A	1	G
15-02264	Jared Michael Cohen	N/A	1	G
15-02270	Douglas P. McConnel	N/A	2	G
15-02297	Dennis Cora	N/A	1	G
15-02319	Camille Marie Gagliardi	N/A	1	G
15-02423	Brad Kalas	N/A	1	G
15-02424	Christy Gatien	N/A	1	G
15-02493	Edward Aloysius McDonough	N/A	1	G
15-02732	James Scott Hunter	N/A	1	G
15-02794	Bernard Fuchs	N/A	1	G
15-02876	Henry Boyce III	N/A	1	G
15-02909	Christopher Edward Coghlan	N/A	1	G
15-02927	Jack Ronald Wolff	N/A	1	G
15-02937	N/A	Herman Kahn	4	D
15-02955	Thomas Helm	N/A	1	G
15-03015	Edward Wayne Butowsky	N/A	6	G/W
15-03047	Michele Elaine Kief	N/A	1	G
15-03049	Eric L. Jansson	N/A	2	G
15-03202	Jason Raymond Savey	N/A	1	G
15-03205	Todd Lowell Kissel	N/A	7	G
15-03222	Keith J. Steidle	N/A	1	G
15-03311	Steven L. Sormani	N/A	4	G
15-03318	Thomas Michael Moran	N/A	1	G
15-03363	Karl Austin Pettijohn	N/A	1	G
15-03455	Joseph Anthony La Ferla Jr.	N/A	10	G
16-00018	Shawn Thomas Kesterson	N/A	1	G
16-00086	Rake Galloway Murray	N/A	4	G/D
16-00164	Timothy Burr Davis	N/A	3	G
16-00543	N/A	John Philip Toman Jr.	1	D
16-00551	Eric P. Berger	N/A	1	G
16-00638	Mark Brian Smalley	N/A	1	G
16-00691	Daniel P. Murphy	N/A	1	G
16-00740	Leonard Jay Suskind	N/A	2	G
16-00798	N/A	Christopher J. Calabrese	1	D
16-00846	Christopher Ray Warwick	N/A	1	G
16-00860	Joshua Ian Schneider	N/A	1	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
16-00893	Anthony S. Bacarella	N/A	1	G
16-00950	Steven Todd Kaplan	N/A	1	G
16-00968	Michael Moskowitz	N/A	1	G
16-01142	Brad Warren Stark	N/A	1	G
16-01150	Daniel H. Rosenberg	N/A	1	G
16-01211	Sid Ironson	N/A	3	G
16-01332	Marc A. Silverman	N/A	1	G
16-01367	Richard Jay Zinman	N/A	1	G
16-01375	Todd M. Brown	N/A	1	G
16-01502	Kevin C. O'Neill	N/A	1	G
16-01568	Louis Anthony Falvo	N/A	2	G
16-01622	Edward Moldaver	N/A	1	G
16-01625	Scott David Blair	N/A	1	G
16-01662	Matthew Lowe	N/A	1	G
16-01693	Kean O. Boucher	N/A	1	G
16-01767	John Bernard Burke	N/A	1	G
16-01775	Patrick J. Biggins	N/A	1	G
16-01866	David H. Miller	N/A	2	G
16-01969	Sean Mark Fetterman	N/A	8	G/D
16-01979	Veronica Lopez-Lopez	N/A	1	G
16-02075	William Leven	N/A	1	G
16-02077	William David Leven	N/A	3	G
16-02078	William Leven	N/A	1	G
16-02079	William Leven	N/A	1	G
16-02082	Nelson Frederick Faro	N/A	1	G
16-02093	Kurt F. Sylvia	N/A	2	G
16-02206	Susan Clayton Moore	N/A	2	G
16-02290	Eric Scott Wishan	N/A	1	G
16-02320	Eric Scott Bodner	N/A	1	G
16-02347	Jane An	N/A	7	G/D
16-02397	N/A	Michael Hanna	4	D
16-02424	Neil Ivan Canell	N/A	1	G
16-02429	N/A	Kristopher Chesley Whitney	Unknown (at least 2)	D
16-02431	Thomas James Freitag	N/A	1	G
16-02457	Jay Barry Canell	N/A	1	G
16-02478	Ramnarain Joseph Jaigobind Jr.	N/A	1	G
16-02542	Joseph Adrian Motley	N/A	1	G
16-02543	Paul Vincent Saltaformaggio	N/A	1	G
16-02547	Dean Bennett Williamson	N/A	2	G
16-02548	Jose Castillo	N/A	1	G
16-02582	Lance Alden Lipset	N/A	1	G
16-02666	Joseph Piellucci	N/A	3	G
16-02691	Corbett Michael LaDuke	N/A	3	G/D
16-02701	Michael Edwin Magruder	N/A	1	G
16-02728	Matthew Jehn	N/A	3	G
16-02769	Sean Luigi Covi	N/A	1	G
16-02778	Gregg Jason Cuvin	N/A	1	G
16-02781	Patrick James Dwyer	N/A	7	G
16-02843	Bernard J. DelGiorno	N/A	1	G
16-02858	Karl Austin Pettijohn	N/A	1	G
16-02889	Christopher D. Stoddard	N/A	6	G
16-02894	Edward F. Camp	N/A	2	G/D
16-02910	Christina Lindsey Orta	N/A	1	G
16-02928	John Cunningham Lindsey	N/A	1	G
16-02936	N/A	Christopher Raphael Vasquez	Unknown	D
16-02943	Bruce Grosvenor Allen	N/A	1	G
16-02944	Glen D. Smith	N/A	1	G
16-02985	Kevin Brooks Kugley	N/A	1	G
16-03006	Travis Jerome Hughes	N/A	13	G/D
16-03013	Keith Eric Singer	N/A	1	G
16-03042	Eric Anthony Stubbs	N/A	2	G
16-03055	Nancy Lynne Bello	N/A	1	G
16-03056	Travis John Hudak	N/A	4	G
16-03058	Joseph Brian Mondell	N/A	1	G
16-03061	Rolf Maille	N/A	1	G
16-03081	Robert A. Lieb	N/A	4	G/D
16-03096	Stephen Anthony Dellelo	N/A	3	G
16-03102	Michael Vincent Addessi	N/A	1	G
16-03104	Stephen Overton	N/A	1	G
16-03108	Derek Nathan Eichenwald	N/A	2	G
16-03111	Richard Vincent Bertain Jr.	N/A	2	G/D
16-03124	Leslie Benjamin Goldstein	N/A	1	G
16-03126	N/A	David Martin Boike	1	D
16-03130	John F. Erdmann III	N/A	2	G
16-03133	Paul Joseph McIntyre	N/A	2	G
16-03135	N/A	Thomas Frances Alessi	6	D
16-03138	Derek Lee Copeland	N/A	2	G
16-03141	Michael Anthony Destro	N/A	5	G
16-03159	N/A	Jeffrey David Thoele	10	D
16-03192	Charles Paul Reinhold	N/A	3	G
16-03194	Dale Thomas Miller	N/A	2	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
16-03211	Jeffrey Aaron Horn	N/A	1	G
16-03212	Martin James Flores Jr.	N/A	1	G
16-03213	Thomas J. Hake	N/A	2	G
16-03214	Daryl Debol	N/A	1	G
16-03217	Peter Zubizarreta	N/A	1	G
16-03219	N/A	Valery Scancellia	1	D
16-03224	Vivienne Karin Schleu	N/A	5	G
16-03244	Craig James Ferrantino	N/A	3	G/D
16-03245	John Christian Barrett	N/A	3	G
16-03250	Robert Howard Keller	N/A	1	G
16-03259	Paul Jacques Stawinski	N/A	7	G/D
16-03262	Randall Jeffrey Bodner	N/A	3	G/D
16-03277	N/A	Thomas Henry Kirk III	2	D
16-03312	Lori Ann Welborn	N/A	2	G
16-03322	Marc Morell	N/A	1	G
16-03341	Steven Joseph Case	N/A	4	G/D
16-03348	Eric Francis Hernandez	N/A	2	G
16-03362	Mark Eric Zuckerman	N/A	3	G
16-03366	Fillip Gershon	N/A	2	G
16-03371	Fillip Gershon	N/A	9	G
16-03403	Jeffrey Samuel Gurman	N/A	8	G/W
16-03406	Bryan James Engebretson	N/A	1	G
16-03420	Kenneth W. Carter	N/A	1	G
16-03434	Garry Wayne Bridgeman	N/A	1	G
16-03444	Robert Jamison Packer	N/A	1	G
16-03445	Alfred Gary Kovacs	N/A	1	G
16-03452	Kenneth W. Carter	N/A	1	G
16-03459	Carl Blair Pritchett III	N/A	2	G
16-03478	N/A	Andrew L. Schade	1	D
16-03496	Charles Dara Day	N/A	2	G
16-03508	Daniel George McPherson	N/A	3	G/D
16-03521	Ryan Christopher Wyatt	N/A	2	G
16-03542	Michael David Newton	N/A	6	G
16-03560	Wayne Allen Meland III	N/A	2	G
16-03567	Phillip Wayne Scott	N/A	4	G
16-03579	Kenneth James Meyers	N/A	6	G/D
16-03589	William Bordon Danzell	N/A	2	G
16-03593	Douglas Bielefeldt	N/A	1	G
16-03595	Sean P. Moran	N/A	1	G
16-03662	Traci L. Born	N/A	2	G
16-03676	James Benjamin White	N/A	1	G
16-03720	Nihaal Mohan Rao	N/A	3	G
16-03723	Ricardo Latta	N/A	5	G/D
17-00020	Forrest Michael Friedow	N/A	3	G
17-00040	Mark Alexander Soukup	N/A	1	G
17-00090	Thomas Maclone Gray	N/A	8	G/D
17-00096	Steven Joseph Gilbert	N/A	6	G/D
17-00098	Anita Brennan	N/A	1	G
17-00114	Peter R. de Castro	N/A	1	G
17-00128	N/A	Thomas Joseph O'Connell, Jr.	1	D
17-00146	David Rosenberg	N/A	1	G
17-00159	Michael James Labrie	N/A	1	G
17-00172	Thomas J. Lindia III	N/A	2	G
17-00177	N/A	Samuel Johnathan Bennett	1	D
17-00207	Bradley Robert Burton	N/A	2	G
17-00219	Brandon Christopher Oliver	N/A	1	G
17-00224	James Raymond Everitt	N/A	1	G
17-00225	Jon Ronald Springer	N/A	4	G
17-00236	Mark Lawrence Eshman	N/A	3	G
17-00238	James Robert Files	N/A	5	G
17-00289	Kathleen McNicholas Entwistle	N/A	1	G
17-00293	Michelle M. Peng	N/A	3	G
17-00304	Thomas Roper Fields III	N/A	4	G
17-00306	David Rosenberg	N/A	1	G
17-00309	N/A	Chad Everett Staskall	1	D
17-00319	N/A	Mark Tollie Gierl	3	D
17-00333	Anthony Dye	N/A	1	G
17-00369	Ambrose Powell Hill	N/A	1	G
17-00371	Robert Dean Pippenger Jr.	N/A	3	G
17-00373	Jeremy David Gottlieb	N/A	1	G
17-00397	Kent Cope Habecker	N/A	3	G
17-00402	Andrew Lief Rieger	N/A	3	G
17-00403	Socrates E. Cruz	N/A	1	G
17-00405	Daniel Shiek Ahmad	N/A	7	G
17-00416	Jeremy Lansat	N/A	2	G/D
17-00436	Adam S. Greenstein	N/A	1	G
17-00438	Robert Carlson	N/A	1	G
17-00442	James Edgar Bradley	N/A	2	G
17-00443	Steven P. McTaggart	N/A	2	G
17-00446	Theodore Cooke Waters III	N/A	1	G
17-00447	Brett Douglas Clifford	N/A	2	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
17-00457	Mark Edward Schulten	N/A	2	G
17-00472	David Jay Bass	N/A	1	G
17-00509	Scott Daniel Hood	N/A	2	G
17-00511	Bradley Jay Barnblatt	N/A	1	G
17-00516	William Rex Bahney	N/A	1	G
17-00532	Aaron A. DeSignore	N/A	1	G/D
17-00533	Mark Andrew Smith	N/A	2	G
17-00545	Thomas Joseph McInerney	N/A	5	G
17-00550	Mark Edward Graham	N/A	2	G
17-00555	J. Graydon Coghlan	N/A	9	G
17-00561	Timothy Martin Foster	N/A	4	G/D
17-00575	N/A	Gregory Patrick Hayes	Unknown	D
17-00579	Nancy Kimball Mellon	N/A	1	G
17-00589	Paul Scott Selvin	N/A	1	G
17-00624	Geoffrey A. Frazier	N/A	2	G
17-00626	Kevin Harold Wilson	N/A	1	G
17-00666	Brett Andrew Laferrera	N/A	2	G/D
17-00670	Stephen Gerard Rossi Sr.	N/A	1	G
17-00727	Richard Brian French	N/A	3	G
17-00734	Kevin Dale Kimery	N/A	1	G
17-00736	Kevin Clayton Fifield	N/A	2	G
17-00742	David Alex Ciccone	N/A	1	G
17-00743	Frank Julio Carrasco	N/A	1	G
17-00760	Richard Ralph Lafferty	N/A	1	G
17-00761	Michael Scott Luftman	N/A	6	G/D
17-00775	Barry Franklin Johnson	N/A	2	G
17-00789	N/A	Michael Vernon Biggs	2	D
17-00796	Karen Ann Kurrasch	N/A	1	G
17-00812	N/A	John David Jaicks	1	D
17-00825	Nicholas Cowles Cochran	N/A	1	G
17-00853	Craig Daniel Price	N/A	4	G
17-00865	Howard Mirvis	N/A	1	G
17-00867	Dirk David Rabenold	N/A	1	G
17-00881	Alvin Sanders	N/A	2	G/D
17-00890	Michael Alan Greer	N/A	1	G
17-00893	Matthew Timothy Shafer	N/A	4	G
17-00901	N/A	Victoria Lynn Mueller	1	D
17-00932	Charles Ellis Connant	N/A	2	G
17-00933	Suzanne Hillary Nitzberg	N/A	2	G
17-00934	Joseph Francis Mahoney	N/A	1	G
17-00936	John C. Tompkins	N/A	1	G
17-00937	Ronald Oldano	N/A	1	G
17-00941	Joseph Alan Seidler	N/A	1	G
17-00970	Curtis Leroy Whipple	N/A	2	G
17-00982	Harvey Robert Boshart	N/A	1	G
17-01003	Kevin Clayton Fifield	N/A	1	G
17-01027	Genevieve Garcia Mar	N/A	2	G
17-01039	Manish Mehta	N/A	1	G
17-01044	Brandon Jeffrey Mink	N/A	1	G
17-01049	R. Mark Castle	N/A	1	G
17-01050	Gregory Robert Sain	N/A	1	G
17-01081	Jordan Mark Dechtman	N/A	5	G
17-01093	Heidi Lydia Hanson	N/A	1	G
17-01094	Thomas Edison Kelly	N/A	2	G
17-01108	William Geiger Stafford	N/A	3	G
17-01117	Jeremy Bardin	N/A	1	G
17-01125	David Robert Begala	N/A	1	G
17-01127	Christopher Alan Clark	N/A	1	G
17-01129	Leonard Frank Valletta	N/A	1	G
17-01135	Jeffrey Elliott Leventhal	N/A	2	G/D
17-01141	Lawrence William Catena	N/A	5	G
17-01144	Anthony C. Pecoraro	N/A	1	G
17-01151	Thomas Kerby Hall	N/A	5	G
17-01153	David S. Coult	N/A	1	G
17-01201	Alex Papadopoulos	N/A	2	G/D
17-01210	Ronald Mark Daly	N/A	1	G
17-01215	Mark Stephen Kaschenbach	N/A	1	G
17-01235	N/A	James Edmond Moniz	8	D
17-01240	Patrick Ryan Henry	N/A	1	G
17-01245	Marc Allan Silverman	N/A	2	G
17-01260	Charles Daniel Fuller	N/A	1	G
17-01262	Scott Alan Jaffe	N/A	3	G
17-01263	N/A	Louis Meyers Tilchin	4	D
17-01286	Colin Gregory Wiens	N/A	1	G
17-01288	N/A	Michael Eugene Pierce	1	D
17-01307	Kevin Clayton Fifield	N/A	2	G
17-01309	Christopher Brent Metcalf	N/A	2	G
17-01310	Christopher B. Metcalf	N/A	1	G
17-01330	Vasileios Alexios Sfyris	N/A	2	G
17-01331	William Heath Hawk	N/A	3	G
17-01391	David Wayne Adams	N/A	1	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
17-01395	John David Santi	N/A	1	G
17-01405	Gregg Michael Somerville	N/A	1	G
17-01410	Kari March	N/A	1	G
17-01420	Anthony Daniel Guinane	N/A	1	G
17-01429	Vincent Molinari	N/A	1	G
17-01433	Gray K. Daus	N/A	1	G
17-01443	Rafael Rivera	N/A	15	G
17-01464	Joseph Bancheri	N/A	1	G
17-01468	Edward Upchurch Miller	N/A	1	G
17-01493	Stephen Frederick Owen, III	N/A	3	G
17-01494	James Edward Chiate	N/A	2	G
17-01506	Jarrod Edward Biebel	N/A	3	G/D
17-01537	Peter Chris Marketos	N/A	3	G
17-01539	Pamela M. Nottingham	N/A	1	G
17-01545	George William Melbrod Jr.	N/A	1	G
17-01548	Paisu Kang	N/A	1	G/D
17-01549	Peter C. Marketos	N/A	4	G/D
17-01562	Thomas James Kokjohn	N/A	1	G
17-01566	Sean Michael Murphy	N/A	4	G
17-01602	Leonard D. Kichler	N/A	1	G
17-01616	Ira Allen Walker	N/A	1	G
17-01624	Mary Colleen Wright	N/A	5	G/D
17-01641	Mark Alexander Soukup	N/A	1	G
17-01650	Stephen Phillip Whitman	N/A	3	G
17-01659	Douglas Peter Eikenberry	N/A	1	G
17-01661	Stephen Joseph Koessl	N/A	1	G
17-01662	N/A	Todd J. Barden	3	D
17-01667	Paul Douglas Larson	N/A	3	G/D
17-01708	Norman Todd Coates	N/A	4	G
17-01717	Michael D. Prokop	N/A	2	G
17-01732	Daniel Martin Ciez	N/A	3	G
17-01759	Terry Ian Zickerman	N/A	3	G
17-01764	James Matthew Patton	N/A	3	G
17-01771	N/A	Farhood Kasiri	2	D
17-01790	Noah Levine	N/A	1	G
17-01800	William Blaine Smith	N/A	1	G
17-01803	Bryan Keith Kaarlsen	N/A	1	G
17-01811	Gregory S. Golding	N/A	3	G
17-01821	Ryan Raymond Callaway	N/A	1	G
17-01823	Michael D. Clancy	N/A	2	G
17-01832	Padraig Kevin McBrien	N/A	1	G
17-01843	Avinash Daswani	N/A	2	G/W
17-01858	Virgil John Threlkeld	N/A	2	G/W
17-01866	Jeffrey Scott Heinel	N/A	6	G
17-01888	Susanna Kim Bracke	N/A	1	G
17-01895	N/A	David Allen Peterson	1	D
17-01901	Michael Erin Tomren	N/A	3	G/D
17-01907	Jason Maxwell Katz	N/A	1	G
17-01921	Daniel Lloyd Wildermuth	N/A	1	G
17-01927	Michael Douglas Hanke	N/A	3	G
17-01928	Brent H. Hoffman	N/A	1	G
17-01937	N/A	Bradley Clyde Fischer	2	D
17-01943	Stephen James Fish	N/A	1	G
17-01952	Brian Thomas Cain	N/A	1	G
17-01959	Jay Duane Hokanson	N/A	3	G/D
17-01960	John Paul Long	N/A	2	G/D
17-01973	Gary B. Ghigliotti	N/A	5	G
17-01977	Eric Michael Earnhardt	N/A	1	G
17-01983	Regina Ann Bernarduci	N/A	3	G/W
17-01999	Nancy Kimball Mellon	N/A	1	G
17-02009	Christopher D. Cervantes	N/A	2	G
17-02023	Norman Abraham Epstein	N/A	1	G
17-02036	Patrick Kieran Tierney	N/A	2	G
17-02044	James Watson Garner	N/A	3	G
17-02059	Louis Tranquilli	N/A	1	G
17-02061	Paul K. Wong	N/A	4	G
17-02070	Jenny Chu	N/A	1	G
17-02089	David Anthony Mendoza	N/A	4	G
17-02107	Richard Joseph Bellew	N/A	2	G/D
17-02150	N/A	Anthony Joseph Ferrara	2	D
17-02157	Matthew D. Gold	N/A	2	G
17-02162	Michael David Kanigher	N/A	1	G
17-02165	Monda D. Hanna	N/A	2	G
17-02182	Richard Grobman	N/A	7	G
17-02213	Todd J. Hubley	N/A	1	G
17-02216	Ari Moshe Baum	N/A	1	G
17-02218	N/A	Walter Chandler Martin	1	D
17-02248	Michael Robert Pohlod Jr.	N/A	1	G
17-02256	Randall Scott Larson	N/A	1	G
17-02257	Jeffrey Worth Ostrander	N/A	3	G/D
17-02260	Elizabeth Angelone	N/A	3	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
17-02261	Elizabeth Angelone	N/A	3	G
17-02285	Frank David Voli	N/A	1	G
17-02295	Matthew Aaron Turner	N/A	2	G
17-02323	Frank Wong	N/A	5	G
17-02329	John Daniel Quinn	N/A	2	G
17-02331	Charles Cheng Zhang	N/A	9	G
17-02332	Stephen John Seremetis	N/A	3	G/D
17-02333	Dennis Anthony Edmonds	N/A	2	G
17-02349	Todd Raymond Allen	N/A	1	G
17-02359	Ralph Michaels Slocum	N/A	1	G
17-02375	Brad Warren Stark	N/A	2	G
17-02392	Adam Steven Riback	N/A	3	G
17-02395	Brian Patrick Mulvey	N/A	2	G
17-02400	Michael David Allard	N/A	2	G
17-02413	Rita K. Mahn	N/A	1	G
17-02414	Barry Evan Rubin	N/A	2	G
17-02416	Jeffrey Steven Cohen	N/A	2	G
17-02453	Paul Tashima	N/A	7	G
17-02461	Bradley Todd Glasman	N/A	21	G/D
17-02462	Bradley Todd Glasman	N/A	1	G
17-02465	Gregory Brian VanWinkle	N/A	24	G
17-02468	Erik Christopher Weir	N/A	2	G/D
17-02469	Erik Christopher Weir	N/A	2	G
17-02477	Christopher Jameson Wynne	N/A	6	G
17-02488	Mark Joseph Seto	N/A	1	G
17-02490	Aaron Brian Graham	N/A	1	G
17-02492	Fred Hamsayeh	N/A	1	G
17-02503	Amanda Beth Glanz	N/A	1	G
17-02512	Dustin Tylor Aiguier	N/A	4	G/D
17-02517	Tara Ashley Sanders	N/A	1	G
17-02518	Annick Iwanowski	N/A	1	G
17-02527	Rafael Antonio De Vengoechea	N/A	1	G
17-02530	Michael Lazari Karapetian	N/A	1	G
17-02532	Kenneth J. Wise	N/A	1	G
17-02535	N/A	Mitchell Dean Horst	1	D
17-02539	Norman David Schlismann	N/A	2	G
17-02544	Tracy Smith King	N/A	1	G
17-02577	Girish Shrinivas Thakar	N/A	2	G
17-02597	Peter C. Han	N/A	1	G
17-02636	N/A	Jason McTeague Scheurer	6	D
17-02642	Royce Bergman	N/A	1	G
17-02652	Andrew Thompson Seaborg	N/A	1	G
17-02664	Nelson Frederick Faro	N/A	1	G
17-02666	N/A	James Steinbrenner	1	D
17-02672	Beth Murray	N/A	1	G
17-02679	Michael Laurence DiGaetano	N/A	2	G
17-02743	Michael Charles Warr	N/A	1	G
17-02746	Jeffrey Brian Mackevich	N/A	1	G
17-02748	Charles Ceasar Werckenthien	N/A	1	G
17-02749	John Alfred Ledford	N/A	2	G
17-02753	Frank Julio Carrasco	N/A	1	G
17-02757	James Michael Poindexter	N/A	1	G
17-02758	Paul James Garrett	N/A	1	G
17-02762	John Francis Macielag	N/A	3	G/W
17-02763	John Francis Macielag	N/A	2	G
17-02767	Rebecca Rose Stay	N/A	1	G
17-02798	David Louis Levine	N/A	5	G
17-02844	Michael George Ferguson	N/A	1	G
17-02854	Kent Roger Snodgrass	N/A	2	G
17-02858	N/A	James Leroy Black	1	D
17-02863	Donald Richard Hehir	N/A	2	G
17-02872	Allen Robert Rosenberg	N/A	2	G
17-02877	Eric Scott Bodner	N/A	4	G/D
17-02881	Marko Andres Rendic	N/A	2	G
17-02891	Dan Michael Gallagher	N/A	2	G
17-02925	Michael Fasciglione	N/A	3	G
17-02931	Shawn Anthony Rogers	N/A	2	G
17-02932	Mark Sam Kolta	N/A	3	G
17-02935	Rebecca Susan Kennell	N/A	1	G
17-02953	Michael Patrick Butterworth	N/A	3	G
17-02976	Michael A. Sabota	N/A	3	G
17-02982	Shaun Perry Nicholson	N/A	4	G/D
17-02985	Aaron Brian Graham	N/A	4	G
17-02988	N/A	Kerry Alan Stinman	1	D
17-02993	Richard Joseph Homuth	N/A	2	G
17-03006	Robert Joseph Binkele	N/A	2	G/W
17-03011	Roy Matthew Strong	N/A	3	G/D
17-03018	N/A	Sean Patrick McDermott	2	D
17-03020	Kevin Francis Sullivan	N/A	1	G
17-03022	Gregory Ray Powell	N/A	1	G
17-03028	Michael Marc Licardello	N/A	1	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
17-03045	Eric Todd Harris	N/A	2	G/D
17-03061	Allen Robert Rosenberg	N/A	3	G
17-03064	N/A	Audrey Sreshta	1	D
17-03083	John Charles Adams	N/A	1	G
17-03085	N/A	Larry Carlton Milton	1	D
17-03089	Bernard Paul Martin Jr.	N/A	4	G/W
17-03091	Frank William Esposito	N/A	3	G
17-03107	N/A	Daniel Eathan Dodgen	1	D
17-03116	Michael Edward Chadwick	N/A	1	G
17-03119	Michael C. Seamands	N/A	2	G
17-03122	James Kelly Biggar	N/A	1	G
17-03142	Edward Anthony Montanez Jr.	N/A	2	G
17-03143	Thomas E. Lieser	N/A	1	G
17-03144	N/A	Lashell Louise Lentz	2	D
17-03155	Peter Nicholas Inserra	N/A	3	G
17-03156	Jason Grady Sanders	N/A	6	G
17-03160	Marko Andres Rendic	N/A	2	G
17-03169	Richard Joseph Homuth	N/A	2	G
17-03184	N/A	Timothy Carlin McCabe	2	D
17-03188	Kevin Douglass Ellman	N/A	1	G
17-03192	Michael Thomas Damon	N/A	3	G/D
17-03199	Kevin Andrew Golden	N/A	1	G
17-03202	Lisa Ann Detanna	N/A	1	G
17-03205	David Max Garrison	N/A	1	G
17-03218	Brian Arthur Marzulli	N/A	1	G
17-03241	Samuel Phillip Belsito	N/A	2	G
17-03259	N/A	Darren Jay Wright	1	D
17-03271	Edward Anthony Montanez Jr.	N/A	2	G
17-03273	Mallory Weil Brenner	N/A	6	G
17-03288	Eric Todd Harris	N/A	2	G
17-03295	William Wallace Wolfe II	N/A	1	G
17-03308	Robert Anderson	N/A	2	G
17-03347	Laurie Barry	N/A	1	G
17-03354	James Robert Schrader	N/A	1	G
17-03355	Charles Edward Duddingston	N/A	2	G
17-03356	Randall Todd Lehman	N/A	1	G
17-03357	Scott George Pinkerton	N/A	6	G/D
17-03361	Mark Steven Kruman	N/A	1	G
17-03365	N/A	William Bemis Elson	1	D
17-03366	Larry Steven Erlichman	N/A	1	G
17-03367	Eric Todd Harris	N/A	2	G
17-03370	Richard N. Fisher, Jr.	N/A	1	G
17-03379	Collin Andrew Meyer	N/A	3	G
17-03388	Marc L. Scudillo	N/A	3	G
17-03397	Michael Anthony Schiavello	N/A	2	G
17-03415	N/A	Daniel John Ruediger	1	D
17-03416	Brian Paul MacKinnon	N/A	1	G
17-03421	Brian David Behl	N/A	1	G
17-03424	Joseph Mitchell Cothron	N/A	1	G
17-03445	N/A	Thomas George Sandkamp	2	D
17-03450	Thomas John Brandt	N/A	1	G
17-03462	Marc L. Scudillo	N/A	19	G
17-03471	Michael W. Butt	N/A	3	G
17-03473	Clara Isabel Fernandez Colorado	N/A	1	G
17-03489	Adil Ramzan Ali	N/A	1	G
17-03499	Kevin Mark Nast	N/A	1	G
17-03500	Andrew Evan Samalin	N/A	2	G
17-03506	Michael W. Butt	N/A	2	G
18-00020	N/A	Marlis Ann Gilbert	2	D
18-00022	Stephen Caruso	N/A	4	G
18-00029	N/A	Charles Joseph LaRocco	3	D
18-00034	Douglas J. Donnelly	N/A	3	G
18-00053	Mark Owen Stephan	N/A	1	G
18-00069	Bart Steven Kaplow	N/A	3	G/D
18-00086	John Mark Ross	N/A	3	G
18-00092	Ariel Bobroff	N/A	1	G
18-00094	N/A	Bradley Todd Glasman	3	D
18-00098	George Robert Meyer	N/A	1	G
18-00107	James Harold Lee	N/A	1	G
18-00116	Thomas W. Howes	N/A	1	G
18-00123	Gregory Sean Hester	N/A	1	G
18-00129	Sandra I-Hsien Wang	N/A	1	G
18-00134	Marc Scott Schliefer	N/A	2	G
18-00139	Keith Douglas Seibert	N/A	2	G
18-00152	Shawn Shyama Patt	N/A	1	G
18-00154	Gregory Jay Chebuske	N/A	3	G
18-00159	Jose E. Chaves	N/A	4	G
18-00170	Gregory Jay Chebuske	N/A	1	G
18-00174	John G. Scott Jr.	N/A	1	G
18-00175	Jeffrey Fratarcangeli	N/A	1	G
18-00178	Mary Brigid Mullin	N/A	2	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
18-00179	Daniel Thomas Foran	N/A	2	G
18-00187	Cheryl Ann Squier	N/A	1	G
18-00194	Garland Richard Homes	N/A	2	G
18-00197	N/A	Linda Lundstrom Cook	1	D
18-00204	Michael Paul Huddles	N/A	1	G
18-00205	George Joseph Schietinger, Jr.	N/A	1	G
18-00208	Jared Blair Smith	N/A	1	G
18-00225	Gary Robert Davis	N/A	2	G
18-00232	John Patric Hyland	N/A	1	G
18-00234	John Francis Foran	N/A	1	G
18-00240	George Sirigotis	N/A	1	G
18-00244	Mykel Ajani Barnes	N/A	2	G
18-00245	Robert Barry Harwood	N/A	2	G
18-00247	Edward Carlton Fox, III	N/A	6	G
18-00248	N/A	John Boone Kincaid	2	D
18-00250	George Joseph Schietinger	N/A	3	G
18-00261	John Gerard Tyczynski	N/A	3	G
18-00262	Christopher Michael Faggioni	N/A	3	G
18-00276	Michael Lawrence Sangirardi	N/A	1	G
18-00278	Christopher Michael Faggioni	N/A	1	G
18-00280	Thomas John Alley	N/A	2	G
18-00289	Andrew Scott Brief	N/A	2	G
18-00290	Kenneth Fredrick Hill	N/A	2	G
18-00291	John Paul Enright	N/A	1	G
18-00292	Damany Eric Henry	N/A	2	G/D
18-00294	Kent Vincent Pearce	N/A	3	G
18-00303	Kevin Clayton Fifield	N/A	2	G
18-00315	Geoffrey L. Fizel	N/A	1	G
18-00325	N/A	Daryl Andrew Cole	1	D
18-00328	Timothy Paul Miller	N/A	1	G
18-00331	Christopher Michael Lazos	N/A	1	G
18-00333	N/A	Melanie Folstad	1	D
18-00343	Karl Frederick Frank	N/A	1	G
18-00344	Ralph Bernard Linzmeier Jr.	N/A	1	G
18-00373	Gary R. Davis	N/A	1	G
18-00381	James Stephen Martin	N/A	3	G
18-00396	John Roland Russell	N/A	4	G
18-00398	Young Mo Chung	N/A	1	G
18-00401	Bruce Kendall Ballard	N/A	1	G
18-00405	Sonny Hamesh Gulati	N/A	2	G
18-00414	Michael P. Halperin	N/A	1	G
18-00416	N/A	Trent W. Montague	1	D
18-00417	Michael W. Butt	N/A	2	G
18-00418	Scott Michael MacDonald	N/A	3	G
18-00422	Francisco Javier Fernandez Leon	N/A	2	G
18-00427	N/A	Thomas W. Howes	2	D/W
18-00435	Jeffrey Michael Speicher	N/A	1	G
18-00438	Matthew Lawrence Schultz	N/A	1	G/D
18-00440	N/A	Costa Tzotzis	1	D
18-00447	Keith Joseph Steidle	N/A	1	G
18-00448	Robert A. Rothman	N/A	1	G
18-00450	Sean Wesley Mollard	N/A	1	G
18-00454	Ira D. Kravitz	N/A	4	G
18-00459	Manfred Hans Hegwer Jr.	N/A	2	G
18-00462	Matthew Tyler Shull	N/A	1	G
18-00463	Kent Vincent Pearce	N/A	2	G
18-00464	Thomas Christophe Prentice	N/A	2	G
18-00465	Antonio Ramirez	N/A	3	G
18-00467	Renick Brown	N/A	1	G
18-00468	David Alan Skutnik	N/A	2	G
18-00473	David James Christensen	N/A	1	G
18-00480	Charles George Duncan	N/A	1	G
18-00481	Mark Richard Lazar	N/A	1	G
18-00483	Andrew Samuel Perri	N/A	1	G
18-00484	N/A	Patrick Francis Kelly	1	D
18-00485	N/A	Rhett Paul Neuman	1	D
18-00488	Michael A. Poutre II	N/A	1	G
18-00493	Christopher Michael Lazos	N/A	1	G
18-00494	Robert Emmett Gill	N/A	2	G/D
18-00496	Stacie Weiner	N/A	2	G/D
18-00501	N/A	Jeffrey Guy LaBelle	3	D
18-00506	Gabriel Yanez	N/A	2	G
18-00507	Aaron Douglas Maurer	N/A	2	G
18-00519	Iain Sharpe	N/A	1	G
18-00520	Iain Sharpe	N/A	1	G
18-00521	Lauren Law Oschman	N/A	1	G
18-00531	William Christopher Glassman	N/A	2	G
18-00537	David Richard Wiercinski II	N/A	2	G
18-00541	Gabriel Yanez	N/A	2	G
18-00557	Charles Ralston Byrnes	N/A	1	G
18-00558	Beth Ann Hearn	N/A	2	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
18-00561	Richard Reid Frith II	N/A	1	G
18-00578	Shawn Michael Richardson	N/A	2	G
18-00606	Karekin Gerair Kaprelian	N/A	3	G/D
18-00607	Dennis Darrel Dachtler	N/A	1	G
18-00614	David Richard Stack	N/A	1	G
18-00615	David Richard Stack	N/A	1	G
18-00616	David Richard Stack	N/A	2	G/W
18-00622	Thomas Edison Kelly, Jr.	N/A	4	G/D
18-00632	Curtis Kim Frazee	N/A	1	G
18-00641	Emmanuel Obel	N/A	1	G
18-00642	Emmanuel Obel	N/A	1	G
18-00646	N/A	Thomas Edison Kelly	4	D
18-00657	Thomas Edison Kelly Jr.	N/A	2	G
18-00658	William R. Walters	N/A	3	G
18-00661	John Douglas Gagliardo	N/A	3	G
18-00662	Josephine Tracy White	N/A	1	G
18-00664	Robert John Cutrupi	N/A	4	G
18-00670	Richard Happle	N/A	5	G
18-00672	David Anthony Munoz	N/A	1	G
18-00674	Thomas Edison Kelly	N/A	3	G/D
18-00693	Marc M. Rosenbach	N/A	1	G
18-00697	Michael Shane Sullivan	N/A	2	G
18-00698	N/A	Mark William Birringer	1	D
18-00699	Brian John Groh	N/A	2	G
18-00700	Kenneth Philip Sorge	N/A	1	G
18-00713	Mark David Rosenberg	N/A	2	G
18-00714	Nicholas J. Tagliarino	N/A	1	G
18-00718	Christopher L. Mette	N/A	1	G
18-00719	Peter Edward Cunningham	N/A	7	G/D
18-00720	Lance J. Williams	N/A	2	G
18-00723	William Burk Rosenthal	N/A	2	G/D
18-00727	Kevin Dale Peterson	N/A	4	G
18-00739	Owen C. McBride	N/A	2	G
18-00740	William G. Murphy	N/A	2	G
18-00741	N/A	Mark David Rosenberg	3	D
18-00748	N/A	Vincent Jerome Camarda	3	D
18-00758	Clifford Mathew Robello	N/A	1	G
18-00765	Mark David Rosenberg	N/A	2	G
18-00766	Vincent Jerome Camarda	N/A	3	G
18-00768	Joseph Turner Caselle	N/A	1	G
18-00769	Bradley Dean Thomas	N/A	1	G
18-00774	N/A	Kevin George Koch	6	D
18-00779	Anthony DiBernardo	N/A	1	G
18-00781	Don Ross Martin	N/A	1	G
18-00783	Jodi Anne Selleck	N/A	2	G
18-00786	N/A	John Charles Joyce	1	D
18-00787	N/A	Jeffrey Brian Mackevich	1	D
18-00790	N/A	David Max Garrison	1	D
18-00794	Vincent Jerome Camarda	N/A	2	G
18-00797	Jeff R. Maas	N/A	1	G
18-00799	N/A	David Neale Brown	2	D
18-00812	Forrest M. Faro	N/A	1	G
18-00815	Vincent Jerome Camarda	N/A	4	G
18-00817	N/A	Eric B. Candelori	3	D
18-00821	Michael Theodore Lukas	N/A	3	G
18-00824	Christopher J. Moran	N/A	2	G
18-00828	Allen Frances Schreiber	N/A	2	G/D
18-00829	John W. Kettmann	N/A	2	G
18-00830	Richard M. Del Monte	N/A	1	G
18-00836	Robert G. Black	N/A	5	G
18-00844	Sean Mark Fetterman	N/A	2	G
18-00845	Heather K. Evans	N/A	2	G
18-00847	Frank Albano	N/A	2	G
18-00848	Ken Kavanagh	N/A	1	G
18-00857	Mary Frances Carter	N/A	1	G
18-00864	Vincent J. Camarda	N/A	1	G
18-00871	N/A	Michael Theodore Lukas	4	D
18-00872	N/A	Michael Jon Engelstad	2	D
18-00880	Grant David DeVaul	N/A	1	G
18-00888	Alexander M. Sugar	N/A	2	G
18-00889	David Brian Miller	N/A	1	G
18-00896	Keith D. Nast	N/A	1	G
18-00909	Michele Elaine Kief	N/A	1	G
18-00916	Brian Patrick Clark	N/A	8	G/D
18-00918	Jeffry Peter Kraus	N/A	1	G
18-00923	Michael William Halloran	N/A	1	G
18-00933	N/A	William McComas Byron	1	D
18-00938	William Frederick Warner	N/A	1	G
18-00939	N/A	Janet Kay Redman	1	D
18-00941	N/A	Roger Harvey Blythe	1	D
18-00942	N/A	William Martin Oliver	1	D

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
18-00946	Edward Albert Glenn	N/A	2	G
18-00947	Jeffrey Alan Swett	N/A	1	G
18-00948	Stephen Frederick Cordasco	N/A	2	G
18-00949	Anne Tunney Gagnon	N/A	1	G
18-00961	Jerrold Eliason Beck	N/A	1	G
18-00962	N/A	Kyle Mitchell McLaughlin	1	D
18-00966	Andrew B. Adams	N/A	1	G
18-00970	N/A	Ford Bradley Howell	1	D
18-00971	Robert Joseph Debbs	N/A	2	G
18-00979	Kelly Dodson Kerr	N/A	1	G
18-00989	Richard Keith Allison	N/A	1	G
18-00997	John Joseph Vento	N/A	1	G
18-01006	Diana Mercedes Navarre	N/A	1	G
18-01008	Matthew E. Lasko	N/A	1	G
18-01019	Harris Scott Nydick	N/A	1	G
18-01023	Rydan Durant Case	N/A	1	G
18-01024	T.S. Thompson	N/A	3	G
18-01026	Thomas Andrew Love	N/A	1	G
18-01028	Tyler Edward Smith	N/A	1	G
18-01040	Timothy Patrick Cusick	N/A	1	G
18-01065	Rushdi Zalatio	N/A	3	G/D
18-01067	Rushdi Zalatio	N/A	2	G
18-01074	James A. Lavorgna	N/A	1	G
18-01078	Steve Baptist	N/A	1	G
18-01080	Jeremy Paul	N/A	3	G
18-01087	Joe Sidney Cotten	N/A	5	G
18-01090	Timothy Odonnell Cornell	N/A	2	G
18-01094	N/A	Veralynn Morris Starostecki	1	D
18-01095	John R. Hudspeth	N/A	3	G/D
18-01101	Frank Augustine Cuenca	N/A	3	G/D
18-01111	Michael G. Rudelson	N/A	1	G
18-01112	Stephen Romney Swensen	N/A	1	G
18-01117	Frank Augustine Cuenca	N/A	2	G
18-01130	Robert M. Buchanan	N/A	1	G
18-01131	Nelson F. Faro	N/A	1	G
18-01132	Robert M. Buchanan	N/A	1	G
18-01138	Antoine Nabih Souma	N/A	2	G
18-01143	Christopher Grant Conness	N/A	2	G
18-01153	Kurt Charles Jackson	N/A	2	G/D
18-01162	Travis Jerome Hughes	N/A	5	G/W
18-01168	Brandi Rose Stahl	N/A	1	G
18-01181	Eric Andrew Diton	N/A	4	G
18-01186	Donald C. Clark Jr.	N/A	1	G
18-01196	N/A	Scott Daniel Hood	3	D
18-01217	N/A	Vasilios Takos	3	D
18-01228	Mark Sam Kolta	N/A	3	G
18-01230	Shane Anthony Brisbin	N/A	2	G
18-01231	Frederick Thornton Scruggs Jr.	N/A	1	G
18-01234	Anthony Joseph Domino	N/A	1	G
18-01243	Colleen Regina Schuhmann	N/A	2	G
18-01253	Timothy Charles Sullivan	N/A	3	G
18-01254	Lori Ann Welborn	N/A	2	G
18-01264	Donald William Bescher III	N/A	1	G
18-01266	N/A	Travis Jerome Hughes	5	D
18-01269	Luke Gareth Meekins	N/A	1	G
18-01272	N/A	Timothy Charles Sullivan	3	D
18-01276	Thomas Peter Mullooly	N/A	3	G
18-01293	Ivan Oscar Alfaro-Ismodes	N/A	1	G
18-01301	Jason Andres Zilveti	N/A	1	G
18-01303	Mark David Rosenberg	N/A	3	G/D
18-01305	N/A	Joseph Sylvester Sturnoilo	1	D
18-01312	Jennifer Austin Hatch	N/A	1	G
18-01318	Adam Scot Goldstein	N/A	1	G
18-01331	Roger Brown Deal	N/A	2	G/D
18-01332	N/A	Kenneth James Meyers	2	D
18-01333	Jeffrey Robert Lavin	N/A	1	G
18-01344	Daniel Jay Aiken	N/A	1	G
18-01354	David Vincent Reuben	N/A	5	G/D
18-01368	Benjamin Grady Boynton	N/A	1	G
18-01371	N/A	Rafael Locken-Testa	1	D
18-01373	Shannan Maureen Denison	N/A	1	G
18-01400	Gordon Li-Heng Chen	N/A	2	G
18-01428	Paul Daniel Knott	N/A	2	G
18-01433	Mark Allen Moore	N/A	1	G
18-01434	Eugene Francis Richardson	N/A	1	G
18-01452	Alfred Bonardi	N/A	6	G
18-01468	Virgilio Benedicto Cristobal	N/A	1	G
18-01475	Michael Shawn Murphy	N/A	1	G
18-01481	David N. Sheppard	N/A	3	G
18-01482	Christopher Philip Mittleman	N/A	1	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
18-01495	Denise A. Palmer	N/A	3	G
18-01497	Mick Dadlani	N/A	2	G/D
18-01521	Kirk L. Gravelle	N/A	4	G
18-01523	Jeffrey Fratarcangeli	N/A	2	G
18-01529	John Michael McDonough	N/A	3	G/W
18-01536	Robert Scott Gilman	N/A	1	G
18-01540	Todd Evan Frank	N/A	1	G
18-01543	John Carolyn	N/A	1	G
18-01545	John Carolyn		1	G
18-01546	Lionel James Casey III	N/A	2	G
18-01553	Irvin William Rosenzweig	N/A	7	G
18-01671	Ian Blane Meierdiercks	N/A	1	G
18-01672	N/A	Marc Alan Johnson	1	D
18-01678	Daryn W. Singleton	N/A	3	G/D
18-01682	Christopher Prentiss Quebedeau	N/A	4	G
18-01710	John Bernard Burke	N/A	1	G
18-01718	Federico J. Sanchez	N/A	1	G
18-01724	James John Raia	N/A	1	G
18-01731	Philip William Michals	N/A	1	G
18-01738	Richard Maxey	N/A	2	G
18-01740	Lorenzo Daniel Esparza	N/A	2	G
18-01742	Eduardo Isaac Brender	N/A	1	G
18-01751	David Michael Rath	N/A	1	G
18-01757	Edgardo H. Ferrer	N/A	1	G
18-01771	Bryan Scott Jarman	N/A	3	G
18-01772	N/A	James William Phillips	3	D
18-01773	Troy Nicholas Tremblay	N/A	4	G
18-01777	Steven Patrick Flagg	N/A	1	G
18-01780	Laura Marie Raulinaitis	N/A	1	G
18-01790	Frank Feipang Auyeung	N/A	3	G
18-01791	Peter Johnston Wright Jr.	N/A	1	G
18-01799	Jay Richard Higgenbotham	N/A	10	G
18-01800	John William Corbett	N/A	2	G
18-01802	Anthony Claude Marcello, III	N/A	1	G
18-01804	Carol Ann Silverman	N/A	1	G
18-01821	Forrest M. Faro	N/A	1	G
18-01830	Scott Douglas Brown	N/A	2	G
18-01834	Michael Francis Clark	N/A	1	G
18-01850	Lawrence V. Sorace	N/A	1	G
18-01851	James Lebaron Springer	N/A	11	G
18-01854	N/A	Richard Michael Wesselt	2	D
18-01857	Gordon Samuel Glener	N/A	1	G
18-01862	Kai Chen	N/A	2	G
18-01875	Gary Jesse Deardorff	N/A	1	G
18-01876	Isaac Jekuthial Brown	N/A	1	G
18-01877	David Alexander Hertl	N/A	6	G/D
18-01880	N/A	Keith D. Nast	1	D
18-01888	Michael Gary Ball	N/A	1	G
18-01896	William Richard Blake	N/A	2	G
18-01908	Steven Patrick Flagg	N/A	2	G
18-01910	Stephen C. Huggins	N/A	1	G
18-01931	David Scott Powers	N/A	1	G
18-01937	John Christian Coyle	N/A	2	G
18-01950	Manish Mehta	N/A	2	G
18-01968	Matthew Ian Turner	N/A	3	G
18-01981	Stephen Mark Seewer	N/A	3	G
18-01984	Brian William Thomas	N/A	5	G
18-01987	Jason James Mosher	N/A	1	G
18-01989	Mark Alexander Soukup	N/A	1	G
18-01990	Robert Clay Coleman	N/A	3	G
18-02025	James Spottswood Gibson	N/A	4	G/D
18-02027	Timothy Charles Sullivan	N/A	3	G
18-02029	Matthew Ian Turner	N/A	2	G
18-02031	Brian William Thomas	N/A	1	G
18-02046	Kathe Sorrentino Wilson	N/A	1	G
18-02055	N/A	David James Hollander	1	D
18-02076	Trent H. Leyda	N/A	1	G
18-02082	Aaron Douglas Maurer	N/A	3	G/D
18-02084	Darren Ross Edwards	N/A	1	G
18-02088	James Francis Meyers	N/A	1	G
18-02096	Brendon Joseph Pierson Jr.	N/A	1	G
18-02105	Jeffrey Michael Kotch	N/A	1	G
18-02110	Duncan Earl Rolph	N/A	1	G
18-02111	John Earle Redfearn III	N/A	1	G
18-02115	Jason Michael Traino	N/A	1	G
18-02137	David Wren	N/A	4	G
18-02139	Richard Anthony Brewster	N/A	3	G
18-02141	Evan Robin Guido	N/A	1	G
18-02148	Breanne Polonia fka Breanne Morgan	N/A	1	G
18-02162	Douglas J. John Calnan	N/A	2	G
18-02167	Raymond Joseph Lucia Jr.	N/A	1	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
18-02175	John Burke Balcerzak	N/A	2	G
18-02188	Simon Matthew Holford	N/A	1	G
18-02192	David Philip Netkin	N/A	3	G
18-02196	N/A	Kevin Thomas Moran	1	D
18-02200	Mark Dean Brannigan	N/A	2	G
18-02205	David Wilford Allen	N/A	1	G
18-02212	Elliot Simon	N/A	2	G
18-02213	Jeffrey H. Leach	N/A	2	G
18-02219	Joseph Ismael Rodriguez	N/A	3	G
18-02222	James Allen	N/A	8	G/W
18-02236	Patrick Timothy Walsh	N/A	1	G
18-02254	Richard Steven Babjak Jr.	N/A	1	G
18-02265	Michael M. Anderson	N/A	1	G
18-02270	N/A	Leila Suely Gough	1	D
18-02274	Andrew Hughes Zimmerman	N/A	2	G/D
18-02295	N/A	Troy Wayne Taylor	2	D
18-02298	N/A	James John Raia	3	D
18-02309	Carolyn Song-Pegg	N/A	1	G
18-02320	Peter Carmine Covino	N/A	2	G/D
18-02337	James William Phillips	N/A	2	G
18-02364	Mark Crider Callahan	N/A	1	G
18-02378	Eric James Schindler	N/A	3	G/D
18-02384	Dustin Allen Smith	N/A	3	G/W
18-02387	Christopher S. Pfaff	N/A	1	G
18-02392	Jeffrey Michael Stillwell	N/A	3	G
18-02399	Jahn Dorab Gazder	N/A	1	G
18-02404	Robert Marshall Jones	N/A	1	G
18-02409	William Hennion	N/A	3	G
18-02410	Andrew Hughes Zimmerman	N/A	4	G
18-02423	Albert Alan Aizin	N/A	2	G
18-02430	N/A	Jonathan Todd Pyne	5	D
18-02441	Deborah Lynn Key	N/A	1	G
18-02451	Richard Martin Potashner	N/A	1	G
18-02456	Matt Ward	N/A	3	G
18-02462	N/A	Adrienne Elizabeth Rowles	1	D
18-02476	Ryan David Gordon	N/A	1	G
18-02494	Michael Sia Bellware	N/A	2	G
18-02514	Orion Kelly Willis	N/A	3	G
18-02528	N/A	Dale Grubb	1	D
18-02531	David Lee Garman	N/A	3	G
18-02538	George Gary Elkin	N/A	1	G
18-02579	Mark Harry Goldwasser	N/A	1	G
18-02580	Marc Layne Lowell	N/A	2	G
18-02592	Ivan Shore	N/A	1	G
18-02605	Steven Carlon Burch Jr.	N/A	1	G
18-02614	Lewis Demiles Baker	N/A	1	G
18-02621	Salvadore J. Miletello IV	N/A	2	G
18-02627	Thomas Ardavast Kudrauskas	N/A	1	G
18-02633	N/A	Gregory Ray Powell	2	D/W
18-02665	James Patrick Shawver	N/A	2	G/D
18-02676	Nathaniel S. Barnhart	N/A	1	G
18-02677	Lyle Hans-Christian Pennell	N/A	1	G
18-02686	Mark Robert Fasano	N/A	1	G
18-02693	Jason Andrew Hoffman	N/A	1	G
18-02700	Kevin Michael Turnock	N/A	2	G
18-02702	Kurt Willard Peterson	N/A	1	G
18-02710	Donald Ray Jackson	N/A	1	G
18-02712	Bert Allen Cooper	N/A	2	G
18-02731	Adam Kenneth Stern	N/A	1	G
18-02752	Byron Andrew Holz	N/A	2	G
18-02754	Mickey Dean Owen, Jr.	N/A	1	G
18-02756	Jonathan Philip Hyett	N/A	1	G
18-02769	Robert Brian Sklar	N/A	4	G
18-02771	Eric Henry Burt	N/A	1	G
18-02775	Scott Layne Hultsman	N/A	1	G
18-02776	Michael Adam Fish	N/A	1	G
18-02786	David Gary Rey	N/A	1	G
18-02787	Marisa F. Pollard	N/A	4	G
18-02792	Margaret Rucker Hixon	N/A	4	G
18-02813	Dean Morgan Paugh	N/A	6	G
18-02819	Eric A. Dupre	N/A	2	G
18-02825	N/A	Ling Yung Wu	1	D
18-02835	William Milton Lendl	N/A	1	G
18-02860	Franklyn Edgerton Clarke	N/A	3	G
18-02867	James C. Salem	N/A	2	G
18-02870	Denise Marie Klemens	N/A	2	G
18-02902	Scott David Shames	N/A	2	G
18-02903	Jay Shah	N/A	4	G/D/W
18-02904	Jay Shah	N/A	1	G
18-02905	Alfred Francis Matarazzo Jr.	N/A	2	G/D
18-02908	Marvin Dean Ferguson	N/A	2	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
18-02932	Andrew Michael Wizarde	N/A	1	G
18-02936	Nick Eugene Son	N/A	4	G
18-02942	William Gerard Morse	N/A	2	G
18-02958	Chi-Hong Chu	N/A	2	G
18-02979	Jeffrey M. Sorensen	N/A	4	G
18-02999	Mark Richard Maller	N/A	2	G
18-03000	David L. Rojas	N/A	1	G
18-03001	David L. Rojas	N/A	1	G
18-03012	Martin Lee Schroeder	N/A	1	G
18-03036	William David Isaacson	N/A	2	G
18-03041	Joseph David Schofield III	N/A	1	G
18-03049	Richard Jay Zinman	N/A	1	G
18-03060	N/A	James William McLellan	1	D
18-03098	James William McLellan	N/A	6	G
18-03114	Dominic Fredo Galati	N/A	1	G
18-03140	Jeffrey Newman	N/A	1	G
18-03152	N/A	Erinn June Ford	5	D
18-03154	Erinn June Ford	N/A	2	G
18-03156	Erinn June Ford	N/A	1	G
18-03166	Colleen E. Farley	N/A	1	G
18-03173	Justin M. Bonavitacola	N/A	1	G
18-03196	Thomas A. Zur	N/A	4	G
18-03213	Nisha Sandeep Varma	N/A	2	G
18-03214	Peter Ivan Michael Shusterman	N/A	1	G
18-03225	John Andrew Nelson	N/A	3	G
18-03254	Ronald R. Wetzel Jr.	N/A	4	G/D
18-03262	Raffaele Gambardella	N/A	1	G
18-03264	Michael Fasciglione	N/A	3	G
18-03265	Ronald Stillman Cole	N/A	8	G/D
18-03267	Matthew Martin Howley	N/A	1	G
18-03296	Natasha Helen Lessard	N/A	1	G
18-03332	Robert Joseph Binkele	N/A	1	G
18-03335	David E. Shoesmith	N/A	1	G
18-03368	David Reid Petty	N/A	13	G
18-03405	Albert May Alexander Jr.	N/A	2	G
18-03406	Michael Raymond Frager	N/A	1	G
18-03423	Kenneth Vincent Nelson	N/A	1	G
18-03427	Dennis Patrick Ryan Jr.	N/A	1	G
18-03439	James C. Steele	N/A	1	G
18-03457	N/A	Gerald Richard Sharpe Jr.	3	D
18-03458	Robert Robbins	N/A	2	G
18-03459	N/A	Scott Charles Kurkjian	1	D
18-03468	Luis J. Alayo-Riera	N/A	3	G
18-03476	Brett Charles Oley	N/A	1	G
18-03479	N/A	Alejandro Mendieta	1	D
18-03482	Alejandro Mendieta	N/A	1	G
18-03484	Alejandro Mendieta	N/A	1	G
18-03509	Gregory James O'Hare	N/A	1	G
18-03530	Johnson George Andrews	N/A	1	G
18-03545	Heath Patrick Abernathy	N/A	2	G
18-03558	Hermann Josef Hartell	N/A	1	G
18-03567	Mark Edwards	N/A	1	G
18-03570	Rhyan Khawar Young	N/A	2	G/D
18-03591	Mark Miller	N/A	3	G
18-03613	Alfonso Luis Boneta	N/A	2	G
18-03619	Gerald Irwin Maisner	N/A	4	G
18-03626	Elias Solomon Friedman	N/A	1	G
18-03638	Melody Ann Juge	N/A	2	G
18-03643	Charles Lee Simmons	N/A	1	G
18-03657	Paul Douglas Axberg	N/A	2	G
18-03665	Lance Eric Roberts	N/A	1	G
18-03666	Ken Morris	N/A	2	G
18-03682	Brian M. Levy	N/A	1	G
18-03703	Peter Dizdar	N/A	1	G
18-03708	Riad Shanawany	N/A	1	G
18-03709	Walter Rocco Kukowski	N/A	1	G
18-03725	N/A	Debra Helen Taylor	1	D
18-03736	Ronald Louis Valpey	N/A	1	G
18-03738	Peter Ivan Michael Shusterman	N/A	1	G
18-03742	Bradley L. Barber	N/A	1	G
18-03745	Paul K. Doak	N/A	2	G/D
18-03767	N/A	Jason P. Spears	1	D
18-03798	John Lahoud	N/A	1	G
18-03828	Eileen Rose Kanoski	N/A	1	G
18-03864	N/A	Julie Hermes Castillo	1	D
18-03909	Jeff Malcolm Davis	N/A	2	G
18-03926	Keith Joseph Steidle	N/A	1	G
18-03928	N/A	Jeffrey Scott Sims	1	D
18-03932	Prakash Chandru Shahani	N/A	2	G
18-03982	Ting Xie O'Connor	N/A	1	G
18-03991	Michael Anthony Abramo	N/A	3	G

Docket No.	Broker Granted Expungement	Broker Denied Expungement	Expungement Requests (#)	Results of Requests
18-04016	Ivana G. Liberatore	N/A	1	G
18-04018	Alyssa Jeanette Rakovich	N/A	1	G
18-04027	N/A	Hatem Ben Dhiab	1	D
18-04038	Erinn June Ford	N/A	1	G
18-04050	N/A	Robert Z. Disman	1	D
18-04052	Robert Calhoun Curtis	N/A	1	G
18-04078	N/A	Elizabeth Ann Sum-Slaughter	1	D
18-04105	Mary Jo Hayes	N/A	1	G
18-04144	N/A	Richard Bruno Casolari	3	D
18-04223	William Joseph Molfetto	N/A	1	G
18-04240	Gerald Richard Sharpe	N/A	5	G
18-04241	Michael Todd Hogan	N/A	3	G
18-04242	Thomas A. Walker Jr.	N/A	1	G
18-04260	Lee Walter Miller	N/A	1	G
18-04271	Thomas Garity	N/A	1	G
18-04283	Mitchell George Rubin	N/A	1	G
18-04299	Robert Ray Craig	N/A	1	G
18-04306	Richard Patrick Kiesel	N/A	13	G
18-04320	Matthew Clark Couzens	N/A	1	G
18-04324	Donald Edwin Burton, II	N/A	2	G
18-04326	N/A	Denise F. Leong	1	D
18-04332	Steven Ray Baumrucker	N/A	1	G
18-04333	Harvey Hamilton Hardee	N/A	1	G
18-04334	Adam David Schwaller	N/A	1	G
18-04347	Edward Thomas Stellingwerf	N/A	1	G
18-04356	Jeffrey Frank Damasco	N/A	2	G
18-04365	N/A	Alexsandra Kulmaticki	2	D
18-04370	Malon Murray Wickham	N/A	1	G
18-04371	Rick Lee Kent	N/A	1	G
18-04385	Steven Howard Orr	N/A	5	G
18-04388	Bill Edward Carter	N/A	1	G
18-04410	Theodore Joseph Durante	N/A	1	G
18-04412	Kathleen M. Hobart	N/A	2	G
18-04413	Kathleen M. Hobart	N/A	1	G
18-04414	Nita R. Pastor	N/A	2	G
18-04428	Rocco Gerard Guidici Pietro	N/A	1	G

Exhibit C



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**BROKERS GRANTED EXPUNGEMENT
IN CASES FILED 1/1/15-7/31/19**

Brokers Requesting Expungement	# of Times Expungement Requested
Thomas Edison Kelly, Jr.	7
Vincent Jerome Camarda	5
Erinn June Ford	4
Karl Austin Pettijohn	4
Keith Joseph Steidle	4
Kevin Clayton Fifield	4
Mark David Rosenberg	4
William David Leven	4
Alejandro Mendieta	3
Bradley Todd Glasman	3
David Richard Stack	3
David Rosenberg	3
Eric Scott Bodner	3
Eric Todd Harris	3
Gary Robert Davis	3
Jeffrey Scott Sims	3
Lisa Ann Detanna	3
Mark Alexander Soukup	3
Michael Edwin Magruder	3
Michael W. Butt	3
Michele Elaine Kief	3
Nelson Frederick Faro	3
Sean Mark Fetterman	3
Timothy Charles Sullivan	3
Travis Jerome Hughes	3
Wilson Blanton Garnett Jr.	3
Aaron Brian Graham	2
Aaron Douglas Maurer	2
Adam S. Greenstein	2
Alfonso Luis Boneta	2
Alfred Gary Kovacs	2
Allen Robert Rosenberg	2
Andrew Hughes Zimmerman	2
Ariel Bobroff	2
Benjamin Stephen Sax	2
Brad Warren Stark	2
Brian William Thomas	2
Christopher Brent Metcalf	2
Christopher Michael Faggioni	2
Christopher Michael Lazos	2

Daniel H. Rosenberg	2
Daniel P. Murphy	2
David L. Rojas	2
David Louis Levine	2
David Max Garrison	2
David Scott Powers	2
Edward Anthony Montanez Jr.	2
Elizabeth Angelone	2
Emmanuel Obel	2
Eric James Schindler	2
Erik Christopher Weir	2
Fillip Gershon	2
Forrest M. Faro	2
Frank Augustine Cuenca	2
Frank Julio Carrasco	2
Gabriel Yanez	2
George Joseph Schietinger, Jr.	2
Gregory Jay Chebuske	2
Gregory Ray Powell	2
Iain Sharpe	2
James John Raia	2
James William McLellan	2
James William Phillips	2
Jared Michael Cohen	2
Jay Shah	2
Jeffrey Brian Mackevich	2
Jeffrey Fratarcangeli	2
John Bernard Burke	2
John Carolyn	2
John Francis Macielag	2
Kathleen M. Hobart	2
Keith D. Nast	2
Kenneth James Meyers	2
Kenneth W. Carter	2
Kent Vincent Pearce	2
Lori Ann Welborn	2
Manish Mehta	2
Marc Allan Silverman	2
Marc L. Scudillo	2
Mark Sam Kolta	2
Marko Andres Rendic	2
Matthew Ian Turner	2
Matthew Lowe	2
Michael Fasciglione	2
Michael Theodore Lukas	2
Nancy Kimball Mellon	2
Peter Ivan Michael Shusterman	2
Randall Larry Krenzin	2
Richard Jay Zinman	2
Richard Joseph Homuth	2
Robert Joseph Binkele	2
Robert M. Buchanan	2
Rushdi Zalatimo	2
Scott Daniel Hood	2
Scott David Blair	2

Steven Patrick Flagg	2
Thomas Michael Moran	2
Thomas W. Howes	2
Traci L. Born	2
Aaron A. DeSignore	1
Adam David Schwallier	1
Adam Fetterman	1
Adam Kenneth Stern	1
Adam Steven Riback	1
Adil Ramzan Ali	1
Adrienne Elizabeth Rowles	1
Aishka Lugo	1
Alan Dean Fadel	1
Albert Alan Aizin	1
Albert May Alexander Jr.	1
Alex Papadopoulos	1
Alexander M. Sugar	1
Alexandra Kulmaticki	1
Alfred Bonardi	1
Alfred Francis Matarazzo Jr.	1
Alfred W. Hovis, Jr.	1
Allan Dean Yarkin	1
Allen Frances Schreiber	1
Alvin Sanders	1
Alyssa Jeanette Rakovich	1
Amanda Beth Glanz	1
Ambrose Powell Hill	1
Andrew B. Adams	1
Andrew Charles Gall	1
Andrew Clark Blease	1
Andrew Evan Samalin	1
Andrew L. Schade	1
Andrew Lief Rieger	1
Andrew Marshall Zentmayer	1
Andrew Michael Wizarde	1
Andrew Roy Worthington	1
Andrew Samuel Perri	1
Andrew Scott Brief	1
Andrew Thompson Seaborg	1
Anita Brennan	1
Anita Marie D'Aguilar	1
Anne Tunney Gagnon	1
Annica Ramirez	1
Annick Iwanowski	1
Anthony C. Pecoraro	1
Anthony Claude Marcello, III	1
Anthony Daniel Guinane	1
Anthony DiBernardo	1
Anthony Dye	1
Anthony Joseph Domino	1
Anthony Joseph Ferrara	1
Anthony Meyer	1
Anthony S. Bacarella	1
Antoine Nabih Souma	1
Antonio Ramirez	1

Ari Matthew Litvin	1
Ari Moshe Baum	1
Arthur T. Carr	1
Arthur Young Cooper	1
Audrey Sreshta	1
Avinash Daswani	1
Barbara J. Zech	1
Barry Evan Rubin	1
Barry Franklin Johnson	1
Bart Steven Kaplow	1
Benjamin Grady Boynton	1
Bernard Fuchs	1
Bernard J. DelGiorno	1
Bernard Paul Martin Jr.	1
Bert Allen Cooper	1
Beth Ann Hearn	1
Beth Murray	1
Bill Edward Carter	1
Brad Kalas	1
Bradley Clyde Fischer	1
Bradley Dean Thomas	1
Bradley Jay Barnblatt	1
Bradley L. Barber	1
Bradley Robert Burton	1
Brandi Rose Stahl	1
Brandon Christopher Oliver	1
Brandon Jeffrey Mink	1
Brandon Joon Chang	1
Breanne Polonia fka Breanne Morgan	1
Brendon Joseph Pierson Jr.	1
Brent H. Hoffman	1
Brett Andrew LaFerrera	1
Brett Charles Oley	1
Brett Douglas Clifford	1
Brett Hina	1
Brian Arthur Marzulli	1
Brian David Behl	1
Brian John Groh	1
Brian M. Levy	1
Brian Patrick Clark	1
Brian Patrick Mulvey	1
Brian Paul MacKinnon	1
Brian Raymond Nelson	1
Brian Thomas Cain	1
Bruce Grosvenor Allen	1
Bruce Kendall Ballard	1
Bryan James Engebretson	1
Bryan Keith Kaarlsen	1
Bryan Scott Jarman	1
Byron Andrew Holz	1
Camille Marie Gagliardi	1
Carl Blair Pritchett III	1
Carol Ann Silverman	1
Carolyn Song-Pegg	1
Casto Miguel Colldelrio	1

Chad A. Hartup	1
Chad Everett Staskall	1
Charles Ceasar Werckenthien	1
Charles Cheng Zhang	1
Charles Daniel Fuller	1
Charles Dara Day	1
Charles Edward Duddingston	1
Charles Ellis Connant	1
Charles George Duncan	1
Charles Joseph LaRocco	1
Charles Lee Simmons	1
Charles Lieberman	1
Charles M. Greef	1
Charles Paul Reinhold	1
Charles Ralston Byrnes	1
Cheryl Ann Squier	1
Chi-Hong Chu	1
Christina Lindsey Orta	1
Christopher Alan Clark	1
Christopher D. Cervantes	1
Christopher D. Stoddard	1
Christopher Edward Coghlan	1
Christopher Grant Conness	1
Christopher J. Calabrese	1
Christopher J. Moran	1
Christopher Jameson Wynne	1
Christopher L. Mette	1
Christopher Philip Mittleman	1
Christopher Prentiss Quebedeau	1
Christopher Raphael Vasquez	1
Christopher Ray Warswick	1
Christopher S. Pfaff	1
Christy Gatien	1
Clara Isabel Fernandez Colorado	1
Clarence Yee	1
Clifford Mathew Robello	1
Colin Gregory Wiens	1
Colleen E. Farley	1
Colleen Regina Schuhmann	1
Collin Andrew Meyer	1
Corbett Michael LaDuke	1
Costa Tzotzis	1
Craig Daniel Price	1
Craig James Ferrantino	1
Curtis Kim Frazee	1
Curtis Leroy Whipple	1
Dale Grubb	1
Dale Thomas Miller	1
Damany Eric Henry	1
Dan Michael Gallagher	1
Daniel Eathan Dodgen	1
Daniel George McPherson	1
Daniel Graham Head	1
Daniel Jay Aiken	1
Daniel John Ruediger	1

Daniel Lloyd Wildermuth	1
Daniel Martin Ciez	1
Daniel Shiek Ahmad	1
Daniel Thomas Foran	1
Darren E. Josephson	1
Darren Jay Wright	1
Darren Ross Edwards	1
Daryl Andrew Cole	1
Daryl Debol	1
Daryn W. Pingleton	1
David Alan Skutnik	1
David Alex Ciccone	1
David Alexander Hertl	1
David Allen Peterson	1
David Anthony Mendoza	1
David Anthony Munoz	1
David Boor	1
David Brian Miller	1
David Bryan Schachter	1
David E. Shoesmith	1
David Gary Rey	1
David H. Miller	1
David James Christensen	1
David James Hollander	1
David Jay Bass	1
David Lee Garman	1
David Martin Boike	1
David Michael Rath	1
David N. Sheppard	1
David Neale Brown	1
David Philip Netkin	1
David Reid Petty	1
David Reiser	1
David Richard Wiercinski II	1
David Robert Begala	1
David S. Coult	1
David Scott McManus	1
David Shane Austin	1
David Vincent Reuben	1
David Wayne Adams	1
David Wilford Allen	1
David Wren	1
Dawn Bennett	1
Dean Bennett Williamson	1
Dean Morgan Paugh	1
Deborah Lynn Key	1
Debra Helen Taylor	1
Denise A. Palmer	1
Denise F. Leong	1
Denise Marie Klemens	1
Dennis Anthony Edmonds	1
Dennis Cora	1
Dennis Darrel Dachtler	1
Dennis Patrick Ryan Jr.	1
Derek Lee Copeland	1

Derek Nathan Eichenwald	1
Diana Mercedes Navarre	1
Dirk David Rabenold	1
Dominic Fredo Galati	1
Don Ross Martin	1
Donald C. Clark Jr.	1
Donald Edwin Burton, II	1
Donald Joseph Bianco	1
Donald Ray Jackson	1
Donald Richard Hehir	1
Donald William Bescher III	1
Douglas Bielefeldt	1
Douglas J. Donnelly	1
Douglas J. John Calnan	1
Douglas P. McConnel	1
Douglas Peter Eikenberry	1
Duncan Earl Rolph	1
Dustin Allen Smith	1
Dustin E. Leach	1
Dustin Tylor Aiguier	1
Edgardo H. Ferrer	1
Eduardo Isaac Brender	1
Edward Albert Glenn	1
Edward Aloysius McDonough	1
Edward Carlton Fox, III	1
Edward F. Camp	1
Edward Moldaver	1
Edward Thomas Stellingwerf	1
Edward Upchurch Miller	1
Edward Wayne Butowsky	1
Eileen Rose Kanoski	1
Elias Solomon Friedman	1
Eliot Simon	1
Elizabeth Ann Sum-Slaughter	1
Eric A. Dupre	1
Eric Andrew Diton	1
Eric Anthony Stubbs	1
Eric B. Candelori	1
Eric Francis Hernandez	1
Eric Henry Burt	1
Eric L. Jansson	1
Eric Michael Earnhardt	1
Eric P. Berger	1
Eric Scott Wishan	1
Eugene Francis Richardson	1
Evan Robin Guido	1
Farhood Kasiri	1
Federico J. Sanchez	1
Ford Bradley Howell	1
Forrest Michael Friedow	1
Francisco Javier Fernandez Leon	1
Frank Albano	1
Frank David Voli	1
Frank Feipang Auyeung	1
Frank William Esposto	1

Frank Wong	1
Franklyn Edgerton Clarke	1
Fred Hamsayeh	1
Frederick Thornton Scruggs Jr.	1
Garland Richard Homes	1
Garry Wayne Bridgeman	1
Gary B. Ghigliotti	1
Gary Cremo	1
Gary Jesse Deardorff	1
Gary Louis Breda	1
Genevieve Garcia Mar	1
Geoffrey A. Frazier	1
Geoffrey Alan VanderPal	1
Geoffrey L. Fiszal	1
George Gary Elkin	1
George Robert Meyer	1
George Sirigotis	1
George William Melbrod Jr.	1
Gerald Irwin Maisner	1
Gerald Richard Sharpe	1
Gerald Richard Sharpe Jr.	1
Gina Marie Bert-Zatto	1
Girish Shriniwas Thakar	1
Glen D. Smith	1
Glen Titan	1
Gordon Li-Heng Chen	1
Gordon Samuel Glener	1
Grant David DeVaul	1
Gray K. Daus	1
Gregg Jason Cuvin	1
Gregg Michael Somerville	1
Gregory Brian VanWinkle	1
Gregory James O'Hare	1
Gregory Patrick Hayes	1
Gregory Robert Sain	1
Gregory S. Golding	1
Gregory Sean Hester	1
Harris Scott Nydick	1
Harvey Hamilton Hardee	1
Harvey Robert Boshart	1
Hatem Ben Dhiab	1
Heath Patrick Abernathy	1
Heather K. Evans	1
Heidi Lydia Hanson	1
Henry Boyce III	1
Herman Kahn	1
Hermann Josef Hartell	1
Howard Mirvis	1
Ian Blane Meierdiercks	1
Ioana E. Cioc	1
Ira Allen Walker	1
Ira D. Kravitz	1
Irvin William Rosenzweig	1
Isaac Jekuthial Brown	1
Ivan Oscar Alfaro-Ismodes	1

Ivan Shore	1
Ivana G. Liberatore	1
J. Graydon Coghlan	1
Jack Ronald Wolff	1
Jahn Dorab Gazder	1
James A. Lavorgna	1
James Allen	1
James Benjamin White	1
James C. Salem	1
James C. Steele	1
James Campbell Fagan	1
James Edgar Bradley	1
James Edmond Moniz	1
James Edward Chiate	1
James Francis Meyers	1
James Harold Lee	1
James Kelly Biggar	1
James Lebaron Springer	1
James Leroy Black	1
James Matthew Patton	1
James Michael Poindexter	1
James Patrick Shawver	1
James Raymond Everitt	1
James Robert Files	1
James Robert Schrader	1
James Scott Hunter	1
James Spottswood Gibson	1
James Steinbrenner	1
James Stephen Martin	1
James Watson Garner	1
Jane An	1
Janet Kay Redman	1
Jared Blair Smith	1
Jarrod Edward Biebel	1
Jason Andres Zilveti	1
Jason Andrew Hoffman	1
Jason Grady Sanders	1
Jason James Mosher	1
Jason Maxwell Katz	1
Jason McTeague Scheurer	1
Jason Michael Traino	1
Jason P. Spears	1
Jason Raymond Savey	1
Jay Barry Canell	1
Jay Duane Hokanson	1
Jay Maltby	1
Jay Richard Higgenbotham	1
Jeff Malcolm Davis	1
Jeff R. Maas	1
Jeffrey Aaron Horn	1
Jeffrey Alan Swett	1
Jeffrey Brian Harper	1
Jeffrey David Thoele	1
Jeffrey Elliott Leventhal	1
Jeffrey Frank Damasco	1

Jeffrey Guy LaBelle	1
Jeffrey H. Cole	1
Jeffrey H. Leach	1
Jeffrey M. Sorensen	1
Jeffrey Michael Kotch	1
Jeffrey Michael Speicher	1
Jeffrey Michael Stillwell	1
Jeffrey Newman	1
Jeffrey Robert Lavin	1
Jeffrey Samuel Gurman	1
Jeffrey Scott Heinel	1
Jeffrey Steven Cohen	1
Jeffrey Worth Ostrander	1
Jeffry Peter Kraus	1
Jennifer Austin Hatch	1
Jenny Chu	1
Jeremy Bardin	1
Jeremy David Gottlieb	1
Jeremy Lansat	1
Jeremy Paul	1
Jerrold Eliason Beck	1
Jerry Enoch Stroud	1
Jodi Anne Selleck	1
Joe Sidney Cotten	1
Joel Ira Rogovin	1
Joel Lansat	1
John Alfred Ledford	1
John Andrew Nelson	1
John Boone Kincaid	1
John Burke Balcerzak	1
John C. Tompkins	1
John Charles Adams	1
John Charles Joyce	1
John Christian Barrett	1
John Christian Coyle	1
John Daniel Quinn	1
John David Jacobs	1
John David Jaicks	1
John David Santi	1
John Douglas Gagliardo	1
John Earle Redfearn III	1
John F. Erdmann III	1
John Francis Foran	1
John G. Scott Jr.	1
John Gerard Tyczynski	1
John Joseph Vento	1
John Lahoud	1
John Mark Kever	1
John Mark Ross	1
John Michael McDonough	1
John Patric Hyland	1
John Paul Enright	1
John Paul Long	1
John Philip Toman Jr.	1
John R. Hudspeth	1

John Roland Russell	1
John W. Kettmann	1
John William Corbett	1
Johnson George Andrews	1
Jon P. Arnold	1
Jon Ronald Springer	1
Jonathan Philip Hyett	1
Jonathan Todd Pyne	1
Jordan Mark Dechtman	1
Jose Castillo	1
Jose E. Chaves	1
Joseph Adrian Motley	1
Joseph Alan Seidler	1
Joseph Anthony La Ferla Jr.	1
Joseph Bancheri	1
Joseph Brian Mondell	1
Joseph David Schofield III	1
Joseph Francis Mahoney	1
Joseph Ismael Rodriguez	1
Joseph Mitchell Cothron	1
Joseph Piellucci	1
Joseph Shimko	1
Joseph Sylvester Sturnoilo	1
Joseph Turner Caselle	1
Josephine Tracy White	1
Joshua Ian Schneider	1
Julie Hermes Castillo	1
Justin M. BonavitaCola	1
Kai Chen	1
Karekin Gerair Kaprelian	1
Karen Ann Kurrasch	1
Kari March	1
Karl Frederick Frank	1
Kathe Sorrentino Wilson	1
Kathleen McNicholas Entwistle	1
Kean O. Boucher	1
Keith Douglas Seibert	1
Keith Eric Singer	1
Kelly Dodson Kerr	1
Ken Kavanagh	1
Ken Morris	1
Kenneth Fredrick Hill	1
Kenneth Gyunam Jo	1
Kenneth J. Wise	1
Kenneth Philip Sorge	1
Kenneth Vincent Nelson	1
Kent Cope Habecker	1
Kent Roger Snodgrass	1
Kerry Alan Stinman	1
Kevin Andrew Golden	1
Kevin Brooks Kugley	1
Kevin C. O'Neill	1
Kevin Dale Kimery	1
Kevin Dale Peterson	1
Kevin Douglass Ellman	1

Kevin Francis Sullivan	1
Kevin George Koch	1
Kevin Harold Wilson	1
Kevin Mark Nast	1
Kevin Michael Turnock	1
Kevin Thomas Moran	1
Kirk L. Gravelle	1
Kristopher Chesley Whitney	1
Kurt Charles Jackson	1
Kurt F. Sylvia	1
Kurt R. Koehler	1
Kurt Willard Peterson	1
Kyle Mitchell McLaughlin	1
Lance Alden Lipset	1
Lance Eric Roberts	1
Lance J. Williams	1
Larry Carlton Milton	1
Larry Steven Erlichman	1
Lashell Louise Lentz	1
Laura Marie Raulinaitis	1
Lauren Law Oschman	1
Laurie Barry	1
Lawrence Charles Liebers	1
Lawrence Edgar King	1
Lawrence V. Sorace	1
Lawrence William Catena	1
Lee Walter Miller	1
Leila Suely Gough	1
Leonard D. Kichler	1
Leonard Frank Valletta	1
Leonard Jay Suskind	1
Leslie Benjamin Goldstein	1
Levi Nagel	1
Levi Rachmanov	1
Lewis Demiles Baker	1
Linda Lundstrom Cook	1
Ling Yung Wu	1
Lionel James Casey III	1
Lisa Taranto Schiffer	1
Lorenzo Daniel Esparza	1
Louis Anthony Falvo	1
Louis Meyers Tilchin	1
Louis Paster	1
Louis Tranquilli	1
Luis J. Alayo-Riera	1
Luke Gareth Meekins	1
Lyle Hans-Christian Pennell	1
Mallory Weil Brenner	1
Malon Murray Wickham	1
Manfred Hans Hegwer Jr.	1
Marc Alan Johnson	1
Marc C. Seward	1
Marc Kalter	1
Marc Layne Lowell	1
Marc M. Rosenbach	1

Marc Morell	1
Marc S. Wolff	1
Marc Scott Schliefer	1
Margaret Rucker Hixon	1
Marina Tudela	1
Marisa F. Pollard	1
Mark Allen Moore	1
Mark Andrew Smith	1
Mark Brian Smalley	1
Mark Crider Callahan	1
Mark Dean Brannigan	1
Mark Edward Graham	1
Mark Edward Schulten	1
Mark Edwards	1
Mark Eric Zuckerman	1
Mark Harry Goldwasser	1
Mark James Sudol	1
Mark Joseph Seto	1
Mark Lawrence Eshman	1
Mark Miller	1
Mark Owen Stephan	1
Mark Richard Lazar	1
Mark Richard Maller	1
Mark Robert Fasano	1
Mark Steinberg	1
Mark Stephen Kaschenbach	1
Mark Steven Kruman	1
Mark Tollie Gierl	1
Mark William Birringer	1
Marlis Ann Gilbert	1
Martin James Flores Jr.	1
Martin Lee Schroeder	1
Martin Oberman	1
Marvin Dean Ferguson	1
Mary Brigid Mullin	1
Mary Colleen Wright	1
Mary Frances Carter	1
Mary Jo Hayes	1
Matt Ward	1
Matthew Aaron Turner	1
Matthew Clark Couzens	1
Matthew D. Gold	1
Matthew E. Lasko	1
Matthew Jehn	1
Matthew Lawrence Schultz	1
Matthew Martin Howley	1
Matthew Timothy Shafer	1
Matthew Tyler Shull	1
Melanie Folstad	1
Melody Ann Juge	1
Michael A. Poutre II	1
Michael A. Sabota	1
Michael Adam Fish	1
Michael Alan Greer	1
Michael Anthony Abramo	1

Michael Anthony Destro	1
Michael Anthony Schiavello	1
Michael Anthony Scongerella	1
Michael C. Seamands	1
Michael Charles Vogel	1
Michael Charles Warr	1
Michael D. Clancy	1
Michael D. Prokop	1
Michael David Allard	1
Michael David Kanigher	1
Michael David Newton	1
Michael Douglas Hanke	1
Michael Edward Chadwick	1
Michael Erin Tomren	1
Michael Eugene Pierce	1
Michael Francis Clark	1
Michael G. Rudelson	1
Michael Gary Ball	1
Michael George Ferguson	1
Michael Hanna	1
Michael James Labrie	1
Michael Jon Engelstad	1
Michael Joseph Kleinfelder	1
Michael Laurence DiGaetano	1
Michael Lawrence Sangirardi	1
Michael Lazari Karapetian	1
Michael Lupton	1
Michael M. Anderson	1
Michael Marc Liciardello	1
Michael Moskowitz	1
Michael Owen Brown	1
Michael P. Halperin	1
Michael Patrick Butterworth	1
Michael Paul Huddles	1
Michael R. Kanner	1
Michael Raymond Frager	1
Michael Robert Pohlod Jr.	1
Michael S. Treinen	1
Michael Scott Luftman	1
Michael Shane Sullivan	1
Michael Shawn Murphy	1
Michael Sia Bellware	1
Michael Thomas Damon	1
Michael Thomas Ohlman	1
Michael Todd Hogan	1
Michael Vernon Biggs	1
Michael Vincent Addressi	1
Michael William Halloran	1
Michelle M. Peng	1
Mick Dadlani	1
Mickey Dean Owen, Jr.	1
Mitchell Dean Horst	1
Mitchell George Rubin	1
Monda D. Hanna	1
Mykel Ajani Barnes	1

Nancy Ellen Biddle	1
Nancy Lynne Bello	1
Natasha Helen Lessard	1
Nathaniel S. Barnhart	1
Neil David Boyle	1
Neil Ivan Canell	1
Nhut Anh Thi Dang	1
Nicholas C. Lomaglio	1
Nicholas Cowles Cochran	1
Nicholas J. Tagliarino	1
Nick Eugene Son	1
Nihaal Mohan Rao	1
Niraj Nicholas Bhandari	1
Nisha Sandeep Varma	1
Nita R. Pastor	1
Noah Levine	1
Noel A. Becker	1
Norman Abraham Epstein	1
Norman David Schlismann	1
Norman Todd Coates	1
Orion Kelly Willis	1
Owen C. McBride	1
Padraig Kevin McBrien	1
Paisu Kang	1
Pamela M. Nottingham	1
Patrick Francis Kelly	1
Patrick J. Biggins	1
Patrick James Dwyer	1
Patrick Kieran Tierney	1
Patrick Ryan Henry	1
Patrick Timothy Walsh	1
Patrick Van Roten	1
Paul Daniel Knott	1
Paul David Miller	1
Paul Douglas Axberg	1
Paul Douglas Larson	1
Paul Jacques Stawinski	1
Paul James Garrett	1
Paul Joseph McIntyre	1
Paul K. Doak	1
Paul K. Wong	1
Paul Randall Valtierra	1
Paul Scott Selvin	1
Paul Tashima	1
Paul Vincent Saltaformaggio	1
Peter C. Han	1
Peter C. Marketos	1
Peter Carmine Covino	1
Peter Chris Marketos	1
Peter Dizdar	1
Peter Edward Cunningham	1
Peter Johnston Wright Jr.	1
Peter Joseph Klein	1
Peter Nicholas Inserra	1
Peter R. de Castro	1

Peter Zubizarreta	1
Philip William Michals	1
Phillip Wayne Scott	1
Prakash Chandru Shahani	1
R. Mark Castle	1
Rafael Antonio De Vengoechea	1
Rafael Locken-Testa	1
Rafael Rivera	1
Raffaele Gambardella	1
Rake Gallaway Murray	1
Ralph Bernard Linzmeier Jr.	1
Ralph Michaels Slocum	1
Ramnarain Joseph Jaigobind Jr.	1
Randall Jeffrey Bodner	1
	1
Randall Scott Larson	1
Randall Todd Lehman	1
Randy Paul Siller	1
Raymond Joseph Lucia Jr.	1
Raymond T. Klosz	1
Rebecca Rose Stay	1
Rebecca Susan Kennell	1
Regina Ann Bernarduci	1
Renick Brown	1
Rhett Paul Neuman	1
Rhyan Khawar Young	1
Riad Shanawany	1
Ricardo Latta	1
Richard Anthony Brewster	1
Richard Brian French	1
Richard Bruno Casolari	1
Richard Dale Almond	1
Richard Grobman	1
Richard Happle	1
Richard Joseph Bellew	1
Richard Keith Allison	1
Richard M. Del Monte	1
Richard Martin Potashner	1
Richard Maxey	1
Richard Michael Wesselt	1
Richard N. Fisher, Jr.	1
Richard P. Arzaga	1
Richard Patrick Kiesel	1
Richard Ralph Lafferty	1
Richard Reid Frith II	1
Richard Scott Zinman	1
Richard Steven Babjak Jr.	1
Richard Vincent Bertain Jr.	1
Richard Walter Simpson	1
Rick Lee Kent	1
Rita K. Mahn	1
Robert A. Lieb	1
Robert A. Rothman	1
Robert Anderson	1
Robert Barry Harwood	1

Robert Brian Sklar	1
Robert Calhoun Curtis	1
Robert Carlson	1
Robert Clay Coleman	1
Robert Dean Pippenger Jr.	1
Robert DiColo	1
Robert E. Armstrong, Jr.	1
Robert Emmett Gill	1
Robert F. Pierson	1
Robert G. Black	1
Robert Howard Keller	1
Robert Jamison Packer	1
Robert John Cutrupi	1
Robert Joseph Debbs	1
Robert Marshall Jones	1
Robert Ray Craig	1
Robert Robbins	1
Robert Scott Gilman	1
Robert Z. Disman	1
Roberto Luis Rivera Vazquez	1
Rocco Gerard Guidicipietro	1
Roger Brown Deal	1
Roger Harvey Blythe	1
Rolf Maile	1
Ronald Dean Bare	1
Ronald Louis Valpey	1
Ronald Mark Daly	1
Ronald Oldano	1
Ronald R. Wetzel Jr.	1
Ronald Stillman Cole	1
Roy Matthew Strong	1
Royce Bergman	1
Ryan Christopher Wyatt	1
Ryan David Gordon	1
Ryan Raymond Callaway	1
Rydan Durant Case	1
Salvadore J. Miletello IV	1
Samuel Johnathan Bennett	1
Samuel Phillip Belsito	1
Sandra I-Hsien Wang	1
Sandra Rae Dalton	1
Scott Alan Jaffe	1
Scott Browning Coombes	1
Scott Charles Kurkjian	1
Scott David Shames	1
Scott Douglas Brown	1
Scott George Pinkerton	1
Scott H. Melbrod	1
Scott Layne Hultsman	1
Scott Michael MacDonald	1
Scott Richard Goodkind	1
Sean Luigi Covi	1
Sean Michael Murphy	1
Sean P. Moran	1
Sean Patrick McDermott	1

Sean Wesley Mollard	1
Shane Anthony Brisbin	1
Shannan Maureen Denison	1
Shaun Perry Nicholson	1
Shawn Anthony Rogers	1
Shawn Michael Richardson	1
Shawn Shyama Patt	1
Shawn Thomas Kesterson	1
Sid Ironson	1
Simon Matthew Holford	1
Socrates E. Cruz	1
Sonny Hamesh Gulati	1
Stacie Weiner	1
Stephanie A. Hunter	1
Stephanie Kelly	1
Stephen Anthony Dellelo	1
Stephen C. Huggins	1
Stephen Caruso	1
Stephen Frederick Cordasco	1
Stephen Frederick Owen, III	1
Stephen Gerard Rossi Sr.	1
Stephen James Fish	1
Stephen John Seremetis	1
Stephen Joseph Koessl	1
Stephen Mark Seewer	1
Stephen Overton	1
Stephen Phillip Whitman	1
Stephen Romney Swensen	1
Steve Baptist	1
Steven Carlon Burch Jr.	1
Steven Howard Orr	1
Steven Joseph Case	1
Steven Joseph Gilbert	1
Steven L. Sormani	1
Steven P. McTaggart	1
Steven Ray Baumrucker	1
Steven Todd Kaplan	1
Susan Clayton Moore	1
Susan Poller-Newman	1
Susanna Kim Bracke	1
Suzanne Hillary Nitzberg	1
T.S. Thompson	1
Tara Ashley Sanders	1
Teresa Carol Vautier	1
Teresa Sue Harmon	1
Terry Ian Zickerman	1
Theodore Cooke Waters III	1
Theodore J. Longo	1
Theodore Joseph Durante	1
Thomas A. Walker Jr.	1
Thomas A. Zur	1
Thomas Andrew Love	1
Thomas Ardavast Kudarauskas	1
Thomas Christophe Prentice	1
Thomas Durr Lips	1

Thomas E. Lieser	1
Thomas Edmund Wojcik	1
Thomas Frances Alessi	1
Thomas Garity	1
Thomas George Sandkamp	1
Thomas Helm	1
Thomas Henry Kirk III	1
Thomas J. Hake	1
Thomas J. Lindia III	1
Thomas James Freitag	1
Thomas James Kokjohn	1
Thomas John Alley	1
Thomas John Brandt	1
Thomas Joseph Graham	1
Thomas Joseph McInerney	1
Thomas Joseph O'Connell, Jr.	1
Thomas Kerby Hall	1
Thomas Maclone Gray	1
Thomas Peter Mullooly	1
Thomas Roper Fields III	1
Timothy Burr Davis	1
Timothy Carlin McCabe	1
Timothy Martin Foster	1
Timothy Odonnell Cornell	1
Timothy Patrick Cusick	1
Timothy Paul MacKinnon	1
Timothy Paul Miller	1
Ting Xie O'Connor	1
Todd Evan Frank	1
Todd J. Barden	1
Todd J. Hubley	1
Todd Lowell Kissel	1
Todd M. Brown	1
Todd M. Hoffman	1
Todd Raymond Allen	1
Tracy Smith King	1
Travis John Hudak	1
Trent Arthur Yost	1
Trent H. Leyda	1
Trent W. Montague	1
Troy Nicholas Tremblay	1
Troy Wayne Taylor	1
Tyler Edward Smith	1
V. John Threlkeld	1
Valery Scancella	1
Vasileios Alexios Sfyris	1
Vasilios Takos	1
Vaughan Scott	1
Veralynn Morris Starostecki	1
Veronica Lopez-Lopez	1
Victoria Lynn Mueller	1
Victor Thomas Connor	1
Vincent Molinari	1
Virgil John Threlkeld	1
Virgilio Benedicto Cristobal	1

Vivienne Karin Schleu	1
Walter Chandler Martin	1
Walter Rocco Kukowski	1
Wayne Allen Meland III	1
William Alexander Tarrab	1
William Arthur Kearney	1
William Bemis Elson	1
William Blaine Smith	1
William Bordon Danzell	1
William Burk Rosenthal	1
William Christopher Glassman	1
William David Isaacson	1
William Frederick Warner	1
William G. Murphy	1
William Geiger Stafford	1
William Gerard Morse	1
William Heath Hawk	1
William Hennion	1
William Howard Desser	1
William Joseph Molfetto	1
William Martin Oliver	1
William McComas Byron	1
William Milton Lendl	1
William R. Walters	1
William Rex Bahney	1
William Richard Blake	1
William Wallace Wolfe II	1
Winifred Shih Sun	1
Yangchen D Lama	1
Young Mo Chung	1

Exhibit D

Expungement Cases Requesting Nominal Damages Issued 1/1/15 - 7/31/19

Sorted by: Docket #



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973.761.5880

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
15-00428	01/19/2016	0.1
15-00537	01/29/2016	0.00001
15-00894	02/18/2016	0.2
15-01085	10/12/2015	0.001
15-01969	04/06/2016	0.05
15-02207	06/20/2016	0.001
16-00691	02/17/2017	0.001
16-00893	10/26/2016	0.001
16-00968	09/28/2016	0.1
16-01502	04/06/2017	0.001
16-01625	12/12/2016	0.05
16-02082	02/01/2017	0.001
16-02290	01/12/2017	0.001
16-02347	06/22/2017	0.001
16-02397	07/20/2017	0.001
16-02424	02/24/2017	0.001
16-02431	01/30/2017	0.001
16-02457	02/07/2017	0.001
16-02542	03/13/2017	0.001
16-02547	03/07/2017	0.001
16-02548	05/22/2017	0.001
16-02582	02/15/2017	0.001
16-02666	05/03/2017	0.001
16-02769	02/27/2017	0.001
16-02778	02/27/2017	0.001
16-02843	03/20/2017	0.001
16-02889	09/28/2017	0.001
16-02894	04/05/2017	0.001
16-02910	05/24/2017	0.001
16-02928	05/18/2017	0.001
16-02943	04/05/2017	0.001
16-02944	04/07/2017	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
16-03006	10/06/2017	0.001
16-03042	03/27/2017	0.001
16-03055	06/12/2017	0.001
16-03056	06/01/2017	0.001
16-03058	05/11/2017	0.001
16-03096	08/22/2017	0.001
16-03102	03/30/2017	0.001
16-03104	05/11/2017	0.001
16-03108	04/18/2018	0.001
16-03111	06/12/2017	0.001
16-03124	04/10/2017	0.001
16-03126	09/08/2017	0.001
16-03133	05/25/2017	0.001
16-03135	06/01/2017	0.001
16-03138	08/29/2017	0.001
16-03159	08/25/2017	0.001
16-03192	07/10/2017	0.001
16-03194	06/26/2017	0.001
16-03211	06/01/2017	0.001
16-03217	08/21/2017	0.001
16-03224	10/09/2017	0.001
16-03244	09/07/2017	0.001
16-03245	05/30/2017	0.001
16-03250	06/12/2017	0.001
16-03259	08/29/2017	0.001
16-03262	07/07/2017	0.001
16-03277	07/28/2017	0.001
16-03341	06/30/2017	0.001
16-03366	09/12/2017	0.001
16-03371	12/22/2017	0.001
16-03403	02/01/2018	0.001
16-03406	06/21/2017	0.001
16-03420	05/25/2017	0.001
16-03434	05/24/2017	0.001
16-03452	07/13/2017	0.001
16-03459	07/20/2017	0.001
16-03508	08/30/2017	0.001
16-03560	05/17/2017	0.001
16-03567	07/11/2017	0.001
16-03579	11/14/2017	0.001
16-03589	10/04/2017	0.1
16-03593	08/16/2017	0.001
16-03720	07/25/2017	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
17-00020	02/09/2018	0.001
17-00096	10/21/2017	0.001
17-00098	07/28/2017	0.001
17-00114	08/30/2017	0.001
17-00172	09/05/2017	0.001
17-00177	09/29/2017	0.001
17-00207	09/28/2017	0.001
17-00224	10/11/2017	0.001
17-00225	12/18/2017	0.001
17-00236	03/20/2018	0.001
17-00238	10/11/2017	0.001
17-00293	09/08/2017	0.001
17-00304	10/12/2017	0.001
17-00309	09/12/2017	0.001
17-00319	09/21/2017	0.001
17-00371	11/14/2017	0.001
17-00397	11/27/2017	0.001
17-00402	10/02/2017	0.001
17-00405	01/12/2018	0.001
17-00436	08/22/2017	0.001
17-00438	11/21/2017	0.001
17-00442	10/18/2017	0.001
17-00446	09/14/2017	0.001
17-00447	11/15/2017	0.001
17-00457	11/30/2017	0.001
17-00509	10/13/2017	0.001
17-00511	11/17/2017	0.001
17-00533	10/31/2017	0.001
17-00545	12/21/2017	0.001
17-00550	09/29/2017	0.001
17-00555	11/03/2017	0.001
17-00561	01/10/2018	0.001
17-00575	10/23/2017	0.001
17-00579	10/17/2017	0.001
17-00589	08/21/2017	0.05
17-00626	10/25/2017	0.001
17-00727	12/11/2017	0.001
17-00734	03/20/2018	0.001
17-00736	11/16/2017	0.001
17-00742	10/16/2017	0.001
17-00743	10/20/2017	0.001
17-00760	10/13/2017	0.001
17-00761	06/21/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
17-00775	12/08/2017	0.001
17-00789	12/22/2017	0.001
17-00812	01/17/2018	0.001
17-00825	10/03/2017	1
17-00865	08/17/2017	0.001
17-00881	12/07/2017	0.001
17-00890	12/05/2017	0.001
17-00932	08/09/2017	0.001
17-00936	11/30/2017	0.001
17-00937	09/18/2017	0.001
17-00941	11/14/2017	0.001
17-00970	11/28/2017	0.001
17-01003	03/30/2018	0.001
17-01027	02/05/2018	0.001
17-01039	10/24/2017	0.001
17-01044	01/19/2018	0.001
17-01049	12/01/2017	0.001
17-01081	12/01/2017	0.001
17-01094	12/05/2017	0.001
17-01108	12/21/2017	0.001
17-01125	05/09/2018	0.001
17-01127	12/18/2017	0.001
17-01129	02/05/2018	0.001
17-01135	05/22/2018	0.001
17-01141	10/30/2017	0.001
17-01151	04/10/2018	0.001
17-01153	10/09/2017	0.001
17-01201	03/16/2018	0.001
17-01210	11/06/2017	0.1
17-01215	01/19/2018	0.001
17-01235	11/07/2017	0.001
17-01240	01/05/2018	0.001
17-01245	12/14/2017	0.001
17-01260	10/31/2017	0.001
17-01262	12/26/2017	0.001
17-01263	02/16/2018	0.001
17-01286	01/29/2018	0.001
17-01288	02/15/2018	0.001
17-01307	12/22/2017	0.001
17-01395	01/11/2018	0.001
17-01405	10/26/2017	0.001
17-01410	01/24/2018	0.001
17-01420	11/15/2017	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
17-01433	03/01/2018	0.001
17-01468	11/15/2017	0.001
17-01493	05/31/2018	0.001
17-01494	11/27/2017	0.001
17-01506	02/26/2018	0.001
17-01537	04/05/2018	0.001
17-01548	03/15/2018	0.001
17-01549	04/26/2018	0.001
17-01562	01/02/2018	0.001
17-01566	02/09/2018	0.001
17-01624	03/16/2018	0.001
17-01641	01/25/2018	0.001
17-01650	10/25/2018	0.001
17-01659	02/16/2018	0.001
17-01661	01/31/2018	0.001
17-01662	04/27/2018	0.001
17-01667	02/13/2018	0.001
17-01708	03/15/2018	0.001
17-01764	07/27/2018	0.001
17-01790	02/22/2018	0.001
17-01800	03/13/2018	0.001
17-01803	04/09/2018	0.001
17-01811	05/30/2018	0.001
17-01821	03/15/2018	0.001
17-01823	04/06/2018	0.01
17-01832	02/12/2018	0.001
17-01843	04/27/2018	0.001
17-01858	02/11/2019	0.1
17-01895	09/19/2018	0.001
17-01901	04/18/2018	0.001
17-01921	02/08/2018	0.001
17-01927	02/14/2018	0.001
17-01937	04/09/2018	0.001
17-01943	04/25/2018	0.001
17-01959	05/12/2018	0.001
17-01960	04/06/2018	0.001
17-01973	03/29/2018	0.001
17-01977	02/27/2018	0.001
17-01983	03/29/2018	0.001
17-01999	01/18/2019	0.1
17-02009	03/21/2018	0.001
17-02036	03/27/2018	0.001
17-02044	04/05/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
17-02061	05/16/2018	0.001
17-02089	04/04/2018	0.001
17-02107	04/11/2018	0.001
17-02150	04/24/2018	0.001
17-02157	04/09/2018	0.001
17-02165	12/15/2017	0.001
17-02213	06/12/2018	0.001
17-02218	05/10/2018	0.001
17-02248	06/14/2018	0.001
17-02256	03/16/2018	0.001
17-02257	06/12/2018	0.001
17-02260	05/25/2018	0.001
17-02261	04/17/2018	0.001
17-02285	05/14/2018	0.001
17-02295	04/17/2018	0.001
17-02329	08/15/2018	0.001
17-02332	06/22/2018	0.001
17-02333	05/23/2018	0.001
17-02349	06/26/2018	0.001
17-02359	05/07/2018	0.001
17-02392	07/05/2018	0.1
17-02395	08/03/2018	0.001
17-02400	06/29/2018	0.001
17-02414	03/02/2018	0.001
17-02416	08/01/2018	0.002
17-02453	05/31/2018	0.001
17-02461	03/08/2019	0.001
17-02462	04/06/2018	0.001
17-02468	05/16/2018	0.001
17-02469	07/30/2018	0.001
17-02490	03/23/2018	0.001
17-02492	04/24/2018	0.001
17-02503	05/31/2018	0.001
17-02512	07/09/2018	0.001
17-02517	04/30/2018	0.001
17-02518	03/05/2018	0.001
17-02527	03/28/2018	0.001
17-02530	03/09/2018	0.001
17-02535	04/19/2018	0.001
17-02539	03/16/2018	0.001
17-02577	04/02/2018	0.001
17-02597	05/30/2018	0.001
17-02636	07/23/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
17-02652	05/21/2018	0.001
17-02664	06/25/2018	0.001
17-02672	03/15/2018	0.001
17-02679	06/10/2019	0.001
17-02743	05/10/2018	0.001
17-02746	06/04/2018	0.001
17-02748	01/22/2019	0.001
17-02757	10/22/2018	0.001
17-02762	05/24/2018	0.001
17-02763	03/27/2018	0.001
17-02767	07/16/2018	0.001
17-02844	02/26/2018	0.001
17-02858	05/04/2018	0.001
17-02863	07/02/2018	0.001
17-02872	06/13/2018	0.001
17-02881	09/13/2018	0.001
17-02925	05/10/2018	0.001
17-02931	05/21/2018	0.001
17-02932	06/15/2018	0.001
17-02935	05/03/2018	0.001
17-02982	07/31/2018	0.001
17-02985	05/30/2018	0.001
17-02988	07/12/2018	0.001
17-02993	05/22/2018	0.001
17-03006	09/25/2018	0.001
17-03011	07/23/2018	0.001
17-03018	08/07/2018	0.001
17-03020	07/30/2018	0.001
17-03022	04/09/2018	0.001
17-03045	07/18/2018	0.001
17-03061	10/24/2018	0.001
17-03083	06/26/2018	0.001
17-03085	08/08/2018	0.001
17-03089	07/17/2018	0.001
17-03091	07/27/2018	0.001
17-03116	05/24/2018	0.001
17-03142	06/12/2018	0.001
17-03143	05/21/2018	0.1
17-03144	10/18/2018	0.001
17-03155	07/25/2018	0.001
17-03160	07/06/2018	0.001
17-03169	07/17/2018	0.001
17-03184	08/07/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
17-03188	04/25/2018	0.001
17-03192	08/06/2018	0.001
17-03199	08/28/2018	0.001
17-03205	07/19/2018	0.001
17-03218	07/11/2018	0.001
17-03241	07/10/2018	0.001
17-03259	06/06/2018	0.001
17-03271	08/08/2018	0.001
17-03288	06/13/2018	0.001
17-03295	07/13/2018	0.001
17-03347	06/08/2018	0.001
17-03354	10/24/2018	0.001
17-03355	11/15/2018	0.001
17-03356	07/09/2018	0.001
17-03357	08/03/2018	0.001
17-03361	07/18/2018	0.001
17-03365	08/31/2018	0.001
17-03367	08/01/2018	0.001
17-03370	07/05/2018	0.001
17-03379	09/05/2018	0.001
17-03388	08/16/2018	0.001
17-03397	07/17/2018	0.001
17-03415	02/27/2019	0.001
17-03421	08/27/2018	0.001
17-03424	01/18/2019	0.001
17-03445	09/24/2018	0.001
17-03450	08/09/2018	0.001
17-03462	05/13/2019	0.001
17-03471	08/13/2018	0.001
17-03489	07/09/2018	0.001
17-03499	09/10/2018	0.001
17-03500	07/30/2018	0.001
17-03506	09/19/2018	0.001
18-00020	08/30/2018	0.001
18-00029	09/14/2018	0.001
18-00034	09/13/2018	0.001
18-00053	10/26/2018	0.001
18-00069	01/30/2019	0.001
18-00086	09/13/2018	0.001
18-00092	12/24/2018	0.001
18-00094	02/13/2019	0.001
18-00098	07/20/2018	0.001
18-00107	09/10/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-00123	09/28/2018	0.001
18-00129	10/17/2018	0.001
18-00134	11/02/2018	0.001
18-00139	12/06/2018	0.001
18-00154	01/04/2019	0.001
18-00170	12/03/2018	0.001
18-00174	10/05/2018	0.001
18-00178	12/07/2018	0.001
18-00179	11/19/2018	0.001
18-00187	09/04/2018	0.001
18-00194	12/10/2018	0.001
18-00197	02/28/2019	0.001
18-00205	10/19/2018	0.001
18-00208	10/04/2018	0.001
18-00225	09/14/2018	0.001
18-00232	09/19/2018	0.001
18-00234	06/28/2018	0.001
18-00240	08/08/2018	0.001
18-00245	11/09/2018	0.001
18-00247	11/16/2018	0.001
18-00248	10/02/2018	0.001
18-00250	10/08/2018	0.001
18-00261	10/31/2018	0.001
18-00262	10/09/2018	0.001
18-00276	10/02/2018	0.001
18-00278	10/16/2018	0.001
18-00280	07/25/2018	0.001
18-00289	09/05/2018	0.001
18-00290	08/14/2018	0.001
18-00291	08/23/2018	0.001
18-00292	11/29/2018	0.001
18-00294	12/18/2018	0.001
18-00303	11/12/2018	0.001
18-00315	09/05/2018	0.001
18-00325	07/31/2019	0.001
18-00331	08/07/2018	0.001
18-00333	10/09/2018	0.001
18-00343	11/26/2018	0.001
18-00373	11/01/2018	0.001
18-00381	03/12/2019	0.001
18-00396	09/24/2018	0.001
18-00398	09/27/2018	0.001
18-00401	09/10/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-00405	12/04/2018	0.001
18-00414	01/18/2019	0.001
18-00416	08/15/2018	0.001
18-00417	10/22/2018	0.001
18-00422	08/01/2018	0.001
18-00435	10/02/2018	0.001
18-00438	08/15/2018	0.001
18-00440	09/17/2018	0.001
18-00448	08/20/2018	0.001
18-00450	10/18/2018	0.001
18-00459	08/10/2018	0.001
18-00463	01/11/2019	0.001
18-00464	11/05/2018	0.001
18-00465	02/11/2019	0.001
18-00468	12/17/2018	0.001
18-00473	08/31/2018	0.001
18-00480	12/03/2018	0.001
18-00481	10/02/2018	0.001
18-00483	01/17/2019	0.001
18-00484	09/07/2018	0.001
18-00485	09/13/2018	0.001
18-00493	09/27/2018	0.001
18-00494	01/17/2019	0.001
18-00496	01/08/2019	0.001
18-00501	10/23/2018	0.001
18-00506	11/23/2018	0.001
18-00507	12/27/2018	0.001
18-00519	10/25/2018	0.001
18-00520	09/27/2018	0.001
18-00521	11/01/2018	0.001
18-00531	01/25/2019	0.001
18-00537	11/19/2018	0.001
18-00541	09/19/2018	0.001
18-00557	10/22/2018	0.001
18-00558	01/18/2019	0.001
18-00561	10/30/2018	0.001
18-00578	12/28/2018	0.001
18-00606	12/03/2018	0.001
18-00607	10/17/2018	0.001
18-00614	11/07/2018	0.001
18-00615	01/11/2019	0.001
18-00616	11/15/2018	0.001
18-00622	01/11/2019	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-00632	08/24/2018	0.001
18-00646	02/11/2019	0.001
18-00657	12/10/2018	0.001
18-00658	12/12/2018	0.001
18-00661	03/04/2019	0.001
18-00662	10/25/2018	0.001
18-00664	02/08/2019	0.001
18-00670	12/03/2018	0.001
18-00672	11/16/2018	0.001
18-00674	01/25/2019	0.001
18-00693	10/09/2018	0.001
18-00697	10/19/2018	0.001
18-00698	08/31/2018	0.001
18-00699	04/03/2019	0.001
18-00700	10/31/2018	0.001
18-00713	02/14/2019	0.001
18-00714	11/05/2018	0.001
18-00718	09/26/2018	0.001
18-00719	03/22/2019	0.001
18-00720	12/13/2018	0.001
18-00723	08/21/2018	0.001
18-00727	10/03/2018	0.001
18-00741	10/18/2018	0.001
18-00748	06/12/2019	0.001
18-00758	11/01/2018	0.001
18-00765	01/04/2019	0.001
18-00766	01/28/2019	0.001
18-00768	02/20/2019	0.001
18-00774	02/22/2019	0.001
18-00779	11/21/2018	0.001
18-00781	09/20/2018	0.001
18-00783	09/21/2018	0.001
18-00786	02/11/2019	0.001
18-00787	02/28/2019	0.001
18-00790	01/25/2019	0.001
18-00794	12/31/2018	0.001
18-00797	11/19/2018	0.001
18-00799	09/08/2018	0.001
18-00812	12/18/2018	0.001
18-00815	12/04/2018	0.001
18-00817	03/06/2019	0.001
18-00821	03/04/2019	0.001
18-00824	10/26/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-00828	11/06/2018	0.001
18-00829	12/26/2018	0.001
18-00830	01/11/2019	0.001
18-00844	11/26/2018	0.001
18-00845	01/11/2019	0.001
18-00847	02/11/2019	0.001
18-00848	03/15/2019	0.001
18-00857	12/10/2018	0.001
18-00864	01/10/2019	0.001
18-00871	10/16/2018	0.001
18-00872	11/20/2018	0.001
18-00880	10/09/2018	0.001
18-00888	11/13/2018	0.001
18-00889	01/07/2019	0.001
18-00896	11/06/2018	0.001
18-00916	11/07/2018	0.001
18-00923	09/17/2018	0.001
18-00933	11/28/2018	0.001
18-00938	09/28/2018	0.001
18-00939	01/16/2019	0.001
18-00941	02/14/2019	0.001
18-00942	10/23/2018	0.001
18-00946	11/01/2018	0.001
18-00947	12/20/2018	0.001
18-00948	01/04/2019	0.001
18-00961	03/26/2019	0.001
18-00962	01/29/2019	0.001
18-00966	10/23/2018	0.001
18-00970	11/13/2018	0.001
18-00971	09/21/2018	0.001
18-00979	11/07/2018	0.001
18-00989	04/15/2019	0.001
18-00997	07/24/2018	0.001
18-01006	09/14/2018	0.001
18-01019	11/21/2018	0.001
18-01023	07/31/2018	0.001
18-01024	12/11/2018	0.001
18-01026	11/12/2018	0.001
18-01028	08/21/2018	0.001
18-01065	10/11/2018	0.001
18-01067	10/01/2018	0.001
18-01074	01/08/2019	0.001
18-01078	11/13/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-01080	12/12/2018	0.001
18-01087	10/19/2018	0.001
18-01090	02/07/2019	0.001
18-01094	04/03/2019	0.001
18-01095	10/17/2018	0.001
18-01101	02/19/2019	0.001
18-01111	08/30/2018	0.001
18-01112	12/31/2018	0.001
18-01117	11/14/2018	0.001
18-01130	02/26/2019	0.001
18-01131	02/06/2019	0.001
18-01132	02/11/2019	0.001
18-01143	11/16/2018	0.001
18-01153	12/13/2018	0.001
18-01162	11/29/2018	0.001
18-01168	01/22/2019	0.001
18-01186	01/30/2019	0.001
18-01196	12/18/2018	0.001
18-01217	10/26/2018	0.001
18-01228	11/02/2018	0.001
18-01230	11/15/2018	0.001
18-01231	10/03/2018	0.001
18-01234	09/24/2018	0.001
18-01243	06/24/2019	0.001
18-01253	09/27/2018	0.001
18-01266	11/14/2018	0.001
18-01269	11/19/2018	0.001
18-01272	10/29/2018	0.001
18-01276	11/02/2018	0.001
18-01301	11/21/2018	0.001
18-01303	03/19/2019	0.001
18-01305	10/17/2018	0.001
18-01312	11/28/2018	0.001
18-01331	01/28/2019	0.001
18-01332	11/19/2018	0.001
18-01344	11/09/2018	0.001
18-01354	05/08/2019	0.001
18-01368	10/18/2018	0.001
18-01371	02/12/2019	0.001
18-01373	03/13/2019	0.001
18-01428	10/22/2018	0.001
18-01433	05/23/2019	0.001
18-01434	12/13/2018	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-01452	04/19/2019	0.001
18-01468	10/16/2018	0.001
18-01475	02/04/2019	0.001
18-01481	01/18/2019	0.001
18-01482	01/02/2019	0.001
18-01495	10/22/2018	0.001
18-01497	11/20/2018	0.001
18-01529	01/31/2019	0.001
18-01536	12/07/2018	0.001
18-01540	10/17/2018	0.001
18-01543	09/24/2018	0.001
18-01545	05/13/2019	0.001
18-01546	11/13/2018	0.001
18-01671	02/25/2019	0.001
18-01672	01/22/2019	0.001
18-01678	01/11/2019	0.001
18-01682	11/12/2018	0.001
18-01710	11/27/2018	0.001
18-01718	11/12/2018	0.001
18-01724	12/31/2018	0.001
18-01738	01/14/2019	0.001
18-01740	12/28/2018	0.001
18-01742	04/17/2019	0.001
18-01751	11/01/2018	0.001
18-01757	10/10/2018	0.001
18-01771	01/15/2019	0.001
18-01772	02/12/2019	0.001
18-01773	01/14/2019	0.001
18-01777	01/16/2019	0.001
18-01780	11/13/2018	0.001
18-01790	04/11/2019	0.001
18-01791	12/17/2018	0.001
18-01799	01/15/2019	0.001
18-01800	01/02/2019	0.001
18-01802	01/22/2019	0.001
18-01804	01/02/2019	0.1
18-01821	02/28/2019	0.001
18-01830	12/19/2018	0.001
18-01834	11/30/2018	0.001
18-01850	01/15/2019	0.001
18-01854	11/14/2018	0.001
18-01857	10/31/2018	0.001
18-01862	01/31/2019	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-01875	02/12/2019	0.001
18-01877	05/15/2019	0.001
18-01880	10/31/2018	0.001
18-01888	01/23/2019	0.001
18-01896	12/03/2018	0.002
18-01908	02/11/2019	0.001
18-01910	03/14/2019	0.001
18-01931	01/10/2019	0.001
18-01937	03/20/2019	0.001
18-01950	12/27/2018	0.001
18-01968	02/19/2019	0.001
18-01981	12/17/2018	0.001
18-01984	03/27/2019	0.001
18-01987	12/17/2018	0.001
18-01989	01/18/2019	0.001
18-01990	03/12/2019	0.001
18-02025	03/14/2019	0.001
18-02027	01/29/2019	0.001
18-02029	01/25/2019	0.001
18-02031	05/06/2019	0.001
18-02082	07/15/2019	0.001
18-02084	01/17/2019	0.001
18-02088	03/19/2019	0.001
18-02096	10/31/2018	0.001
18-02105	11/16/2018	0.001
18-02110	03/06/2019	0.001
18-02111	01/25/2019	0.001
18-02115	01/18/2019	0.001
18-02137	06/27/2019	0.001
18-02141	03/11/2019	0.001
18-02148	12/04/2018	0.001
18-02162	03/22/2019	0.001
18-02167	12/13/2018	0.001
18-02175	01/25/2019	0.001
18-02188	02/12/2019	0.001
18-02192	03/27/2019	0.001
18-02196	01/09/2019	0.001
18-02200	01/30/2019	0.001
18-02205	01/04/2019	0.001
18-02219	04/11/2019	0.001
18-02236	01/07/2019	0.001
18-02254	01/31/2019	0.001
18-02265	02/08/2019	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-02270	01/23/2019	0.001
18-02274	01/30/2019	0.001
18-02298	05/31/2019	0.001
18-02309	01/21/2019	0.001
18-02320	07/02/2019	0.001
18-02337	02/11/2019	0.001
18-02364	02/01/2019	0.001
18-02378	01/23/2019	0.001
18-02384	04/03/2019	0.001
18-02392	03/14/2019	0.001
18-02399	03/26/2019	0.001
18-02404	12/10/2018	0.001
18-02409	01/18/2019	0.001
18-02410	01/25/2019	0.001
18-02423	03/28/2019	0.001
18-02430	03/01/2019	0.001
18-02451	02/05/2019	0.001
18-02456	04/16/2019	0.001
18-02476	02/08/2019	0.001
18-02494	03/19/2019	0.001
18-02514	03/01/2019	0.001
18-02528	02/08/2019	0.001
18-02531	04/05/2019	0.001
18-02538	02/08/2019	0.001
18-02579	02/08/2019	0.001
18-02605	03/01/2019	0.001
18-02614	01/30/2019	0.001
18-02621	01/23/2019	0.001
18-02627	02/22/2019	0.001
18-02633	02/25/2019	0.001
18-02665	02/06/2019	0.001
18-02676	06/13/2019	0.001
18-02677	03/18/2019	0.001
18-02686	03/21/2019	0.001
18-02693	05/21/2019	0.001
18-02700	01/24/2019	0.001
18-02702	05/15/2019	0.001
18-02710	01/24/2019	0.001
18-02712	02/25/2019	0.001
18-02731	04/12/2019	0.001
18-02752	04/25/2019	0.001
18-02754	03/28/2019	0.001
18-02756	04/10/2019	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-02776	03/28/2019	0.001
18-02786	01/09/2019	0.001
18-02787	12/11/2018	0.001
18-02792	06/25/2019	0.001
18-02813	02/20/2019	0.001
18-02819	04/08/2019	0.001
18-02835	04/10/2019	0.001
18-02860	07/09/2019	0.001
18-02867	01/15/2019	0.001
18-02870	03/28/2019	0.001
18-02902	05/13/2019	0.001
18-02903	05/17/2019	0.002
18-02904	02/21/2019	0.001
18-02905	06/18/2019	0.001
18-02908	06/17/2019	0.001
18-02932	02/25/2019	0.001
18-02936	05/22/2019	0.001
18-02942	05/16/2019	0.001
18-02958	03/15/2019	0.001
18-02979	04/02/2019	0.001
18-03000	01/28/2019	0.001
18-03001	04/17/2019	0.001
18-03036	02/26/2019	0.001
18-03041	06/13/2019	0.1
18-03049	04/09/2019	0.1
18-03060	05/14/2019	0.001
18-03098	05/23/2019	0.001
18-03114	02/08/2019	0.001
18-03152	07/03/2019	0.001
18-03166	02/07/2019	0.001
18-03173	04/15/2019	0.001
18-03196	06/20/2019	0.001
18-03213	04/23/2019	0.001
18-03214	05/06/2019	0.001
18-03225	04/08/2019	0.003
18-03254	06/06/2019	0.001
18-03262	03/04/2019	0.001
18-03264	05/14/2019	0.001
18-03267	03/04/2019	0.001
18-03296	06/19/2019	0.001
18-03332	06/17/2019	0.001
18-03368	06/24/2019	0.001
18-03405	03/06/2019	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-03406	05/31/2019	0.001
18-03423	06/07/2019	0.001
18-03427	04/03/2019	0.001
18-03457	05/23/2019	0.001
18-03458	06/13/2019	0.001
18-03459	05/14/2019	0.001
18-03468	07/12/2019	0.001
18-03476	05/08/2019	0.001
18-03479	04/08/2019	0.001
18-03482	04/02/2019	0.001
18-03484	02/15/2019	0.001
18-03509	02/27/2019	0.001
18-03545	06/05/2019	0.001
18-03558	04/23/2019	0.001
18-03567	02/26/2019	0.001
18-03570	04/22/2019	0.001
18-03591	04/02/2019	0.001
18-03613	03/27/2019	0.001
18-03619	04/05/2019	0.001
18-03638	07/11/2019	0.001
18-03643	07/29/2019	0.001
18-03657	06/28/2019	0.001
18-03665	05/20/2019	0.001
18-03666	07/05/2019	0.1
18-03682	05/31/2019	0.001
18-03703	06/04/2019	0.001
18-03708	05/28/2019	0.001
18-03709	06/24/2019	0.5
18-03725	05/08/2019	0.001
18-03736	04/11/2019	0.001
18-03738	07/30/2019	0.001
18-03742	01/31/2019	0.001
18-03745	05/03/2019	0.001
18-03798	05/02/2019	0.001
18-03828	04/26/2019	0.001
18-03909	05/17/2019	0.001
18-03928	07/19/2019	0.001
18-03932	05/23/2019	0.001
18-03982	05/28/2019	0.001
18-04016	05/31/2019	0.001
18-04018	05/13/2019	0.001
18-04027	06/28/2019	0.001
18-04038	07/23/2019	0.001

Docket No.	Issue Date	Claimed Compensatory Damages (in \$1000s)
18-04050	05/24/2019	0.001
18-04052	06/10/2019	0.001
18-04078	05/24/2019	0.001
18-04105	07/05/2019	0.001
18-04144	06/25/2019	0.001
18-04240	07/03/2019	0.001
18-04242	07/08/2019	0.001
18-04260	06/21/2019	0.001
18-04271	05/01/2019	0.001
18-04283	07/11/2019	0.001
18-04320	06/28/2019	0.001
18-04326	07/22/2019	0.001
18-04356	07/01/2019	0.001
18-04370	07/18/2019	0.001
18-04410	05/28/2019	0.001
18-04412	07/24/2019	0.001
18-04428	06/24/2019	0.001

Exhibit E

	2015	2016	2017	2018	Total
Total Broker-Initiated Expungement Only Cases Filed	59	135	339	545	1078
Total Number of Customer Complaints Broker Requested To Be Expunged	102	300	756	1036	2194
Highest Number of Customer Complaints Requested Expunged In One Case	10	13	24	13	
Total Cases (Three Arbitrators vs. Single Arbitrator)					Total
Three Arbitrator Cases	37	50	46	42	175
Single Arbitrator Cases	22	85	293	503	903
Three Arbitrator Cases- %	63%	37%	14%	8%	
Single Arbitrator Cases- %	37%	63%	86%	92%	
Total Cases (Granted/Denied/Granted In Part)					Total
Expungement Recommendation Granted	55	109	276	444	884
Expungement Recommendation Granted- Three Arbitrator Cases	34	39	41	37	151
Expungement Recommendation Granted- Single Arbitrator Cases	21	70	235	407	733
Expungement Recommendation Granted- %	93%	81%	81%	81%	
Expungement Recommendation Granted- Three Arbitrator Cases - %	92%	78%	89%	88%	
Expungement Recommendation Granted- Single Arbitrator Cases- %	95%	82%	80%	87%	
					Total
Expungement Denials	3	11	32	68	114
Expungement Denials- Three Arbitrator Cases	2	6	3	5	16
Expungement Denials- Single Arbitrator Cases	1	5	29	63	98
Expungement Denials- %	5%	8%	9%	12%	
Expungement Denials- Three Arbitrator Cases-%	5%	12%	7%	12%	
Expungement Denials- Single Arbitrator Cases-%	5%	7%	10%	13%	
					Total
Expungement Granted In Part, Denied In Part	1	15	31	33	80
Expungement Granted In Part, Denied In Part- Three Arbitrator Cases	1	5	2	0	8
Expungement Granted In Part, Denied In Part- Single Arbitrator Cases	0	10	29	33	72
Expungement Granted in Part, Denied In Part - %	2%	11%	9%	6%	
Total Cases (Respondent BD Objected vs. No Objection)					Total
Resp. Objected to Expungement	3	3	5	10	21
Resp. Did Not Object to Expungement	56	132	334	533	1055

Resp. Objected to Expungement- %	5%	2%	1%	2%	
Resp. Did Not Object to Expungement- %	95%	98%	99%	98%	
Expungements Denied When Resp. Objected	1	1	0	5	7
Expungements Granted In Part, Denied In Part When Resp. Objected	0	1	2	0	3
Expungements Denied At Least In Part When Resp. Objected	1	2	2	5	10
Expungements Denied At Least In Part When Resp. Did Not Object	3	24	32	63	122
Expungements Denied At Least in Part When Resp. Objected-%	33%	67%	40%	50%	
Expungements Denied When BD Did Not Object-%	5%	18%	10%	12%	
Percent More Likely To Deny Expungment When BD Objects	660%	372%	418%	417%	
Total Cases (Customer Objected vs. No Objection)					
Customer Objected to Expungement	2	22	54	63	141
Customer Did Not Object/Participate	54	105	273	482	914
Customer Objected to Expungement-%	3%	16%	16%	12%	
Customer Did Not Object/Participate- %	92%	78%	81%	88%	
Expungements Denied When Customer Objected	0	2	9	14	25
Expungements Granted In Part, Denied In Part When Customer Objected	0	6	14	6	26
Expungements Denied At Least In Part When Customer Objected	0	8	23	20	51
Expungements Denied At Least In Part When Customer Did Not Object	3	17	14	61	95
Expungements Denied At Least In Part When Customer Objected- %	0%	36%	43%	32%	
Expungements Denied At Least In Part When Customer Did Not Object- %	6%	16%	5%	13%	
Percent More Likely To Deny Expungment When Customer Objects	0%	225%	831%	244%	
Total Number of Evidentiary Hearing Dates (Per case)	1 Hearing	2 Hearings	3 Hearings	3+ Hearings	Total
	972	88	12	6	1078

Award
FINRA Dispute Resolution Services

In the Matter of the Arbitration Between:

Claimant
Robert A. A. Brewer

Case Number: 20-00639

vs.

Respondent
Raymond James & Associates, Inc.

Hearing Site: Louisville, Kentucky

Awards are rendered by independent arbitrators who are chosen by the parties to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

Nature of the Dispute: Associated Person vs. Member

This case was administered under the Special Proceeding option for simplified cases.

REPRESENTATION OF PARTIES

For Claimant Robert A. A. Brewer (“Claimant”): Kathryn Roe Eldridge, Esq., Maynard, Cooper & Gale, P.C., Birmingham, Alabama.

For Respondent Raymond James & Associates, Inc. (“Respondent”): Robert M. Rudnicki, Esq., Raymond, James & Associates, Inc., St. Petersburg, Florida.

CASE INFORMATION

Statement of Claim filed on or about: February 25, 2020.
Claimant signed the Submission Agreement: January 20, 2020.

Statement of Answer filed on or about: March 4, 2020.
Respondent signed the Submission Agreement: February 26, 2020.

CASE SUMMARY

In the Statement of Claim, Claimant asserted a claim seeking expungement of customer dispute information from registration records maintained by the Central Registration Depository (“CRD”).

In the Statement of Answer, Respondent stated that it did not oppose Claimant’s expungement request.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested expungement of Occurrence Numbers 1605502, 1553536, 1472063, 1467292, 1465601, 1465600, 1446081, and 1440163; general compensatory damages in the amount of \$1.00; and that in the interests of fairness, any and all hearing fees in this matter be ordered by the Arbitrator to be borne by Claimant, rather than Respondent.

In the Statement of Answer, Respondent requested that all fees be assessed to Claimant.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrator acknowledges having read the pleadings and other materials filed by the parties.

On June 21, 2020, Claimant advised that the customers in Occurrence Numbers 1553536, 1467292, 1465601, 1465600, and 1446081, and three of the customers in Occurrence Number 1472063 ("Customers") were served with the Statement of Claim and notice of the date and time of the expungement hearing. On August 19, 2020, Claimant advised that the Customers were served with notice that the hearing was rescheduled.

On September 9, 2020, Claimant filed correspondence stating that the sole customer involved in Occurrence Number 1605502, two of the customers involved in Occurrence Number 1472063, and both of the customers involved in Occurrence Number 1440163 are deceased.

The Arbitrator conducted a recorded, telephonic hearing on September 9, 2020, so the parties could present oral argument and evidence on Claimant's request for expungement.

Respondent did not participate in the expungement hearing.

The Customers also did not participate in the expungement hearing. The Arbitrator found that the Customers had notice of the expungement request and hearing. The Arbitrator also noted that, in a letter dated February 14, 2020, one of the customers involved in Occurrence Number 1472063 supported Claimant's request for expungement. And, in a letter dated June 22, 2020, one of the customers involved in Occurrence Number 1472063 opposed Claimant's request for expungement.

The Arbitrator reviewed Claimant's BrokerCheck® Report. The Arbitrator noted that a prior arbitration panel or court did not previously rule on expungement of the same occurrences in the CRD.

The Arbitrator also reviewed the settlement documents, considered the amount of payments made to any party to the settlement, and considered other relevant terms and conditions of the settlement with respect to Occurrence Number 1465600. The Arbitrator noted that the settlement was not conditioned on any party to the settlements not opposing the expungement request and that Claimant did not contribute to the settlement amount.

The Arbitrator noted that the disputes related to Occurrence Numbers 1605502, 1472063, 1465601, and 1440163 were not settled and, therefore, there were no settlement documents to review.

In recommending expungement, the Arbitrator relied upon the following documentary or other evidence: Claimant's Statement of Claim, including exhibits; Claimant's post-hearing submission, and Claimant's testimony.

AWARD

After considering the pleadings, the testimony and evidence presented at the expungement hearing, and any post-hearing submissions, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant's claim for \$1.00 in compensatory damages is denied.
2. Claimant's request for expungement of Occurrence Numbers 1553536, 1467292, and 1446081 from his registration records maintained by the CRD is denied.
3. The Arbitrator recommends the expungement of all references to Occurrence Number 1605502 from registration records maintained by the CRD for Claimant Robert A. A. Brewer (CRD Number 2285559) with the understanding that, pursuant to Notice to Members 04-16, Claimant Robert A. A. Brewer must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

Unless specifically waived in writing by FINRA, parties seeking judicial confirmation of an arbitration award containing expungement relief must name FINRA as an additional party and serve FINRA with all appropriate documents.

Pursuant to Rule 13805 of the Code of Arbitration Procedure ("Code"), the Arbitrator has made the following Rule 2080 affirmative finding of fact:

The claim, allegation, or information is factually impossible or clearly erroneous.

The Arbitrator has made the above Rule 2080 finding based on the following reasons:

The customer wrote a complaint letter to Claimant, dated March 13, 2012 with respect to several issues. Among other things, the customer requested that his holdings in a real estate investment trust ("REIT") at Morgan Keegan & Company, Inc. ("Morgan Keegan") be rolled over or, alternatively, liquidated and the proceeds transferred. Additionally, the customer objected to being charged an annual fee on an account which he had previously requested be closed and alleged that he had not been advised that he "could not get out of" the REIT. Morgan Keegan responded in a letter dated August 8, 2012, informing the customer that the prospectus for the non-traded REIT, which he signed for, clearly stated that "[t]he shares are not liquid, there is no current market for the shares and [you] may not be able to sell the securities." Additionally, forms were provided to the customer to allow his shares to be held with the transfer agent rather than Morgan Keegan, which would enable his account to be closed and eliminate any future annual fees. As a consequence of providing the prospectus, which clearly stated that the security that the customer purchased was not liquid, the customer was aware or should have been aware that he would not be able to sell the securities. Therefore, his claim is clearly erroneous.

4. The Arbitrator recommends the expungement of all references to Occurrence Number 1472063 from registration records maintained by the CRD for Claimant Robert A. A. Brewer (CRD Number 2285559) with the understanding that, pursuant to Notice to Members 04-16, Claimant Robert A. A. Brewer must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

Unless specifically waived in writing by FINRA, parties seeking judicial confirmation of an arbitration award containing expungement relief must name FINRA as an additional party and serve FINRA with all appropriate documents.

Pursuant to Rule 13805 of the Code, the Arbitrator has made the following Rule 2080 affirmative finding of fact:

The registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds.

The Arbitrator has made the above Rule 2080 finding based on the following reasons:

Claimant did not misrepresent the investment to the customers. The customers' allegations were not supported by the evidence. The failure of the customers' bond funds was not due to any affirmative action on the part of Claimant, but rather the fund manager. The Arbitrator notes that one of the prevailing customers supported Claimant's request for expungement. The Arbitrator further notes that Claimant was not named in the underlying arbitration. The customers' claims were against Morgan Keegan and included a request for actual damages in excess of \$822,000.00. The Panel awarded damages to two of the customers in the amounts of \$10,708.00 and \$11,715.00. The Panel denied the claims of the other three customers.

5. The Arbitrator recommends the expungement of all references to Occurrence Number 1465601 from registration records maintained by the CRD for Claimant Robert A. A. Brewer (CRD Number 2285559) with the understanding that, pursuant to Notice to Members 04-16, Claimant Robert A. A. Brewer must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

Unless specifically waived in writing by FINRA, parties seeking judicial confirmation of an arbitration award containing expungement relief must name FINRA as an additional party and serve FINRA with all appropriate documents.

Pursuant to Rule 13805 of the Code, the Arbitrator has made the following Rule 2080 affirmative finding of fact:

The registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds.

The Arbitrator has made the above Rule 2080 finding based on the following reasons:

The customer relied upon "sales slicks" provided by Morgan Keegan in making her decision. Claimant did not misrepresent the investment to the customer. The customer's

allegations were not supported by the evidence presented at the hearing. The failure of the bond funds was not due to any affirmative action on the part of Claimant, but rather the fund manager.

6. The Arbitrator recommends the expungement of all references to Occurrence Number 1465600 from registration records maintained by the CRD for Claimant Robert A. A. Brewer (CRD Number 2285559) with the understanding that, pursuant to Notice to Members 04-16, Claimant Robert A. A. Brewer must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

Unless specifically waived in writing by FINRA, parties seeking judicial confirmation of an arbitration award containing expungement relief must name FINRA as an additional party and serve FINRA with all appropriate documents.

Pursuant to Rule 13805 of the Code, the Arbitrator has made the following Rule 2080 affirmative finding of fact:

The registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds.

The Arbitrator has made the above Rule 2080 finding based on the following reasons:

Claimant did not misrepresent the investment to the customers. The customers' allegations were not supported by the evidence presented at the hearing. The failure of the bond funds was not due to any affirmative action on the part of Claimant, but rather the fund manager.

7. The Arbitrator recommends the expungement of all references to Occurrence Number 1440163 from registration records maintained by the CRD for Claimant Robert A. A. Brewer (CRD Number 2285559) with the understanding that, pursuant to Notice to Members 04-16, Claimant Robert A. A. Brewer must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

Unless specifically waived in writing by FINRA, parties seeking judicial confirmation of an arbitration award containing expungement relief must name FINRA as an additional party and serve FINRA with all appropriate documents.

Pursuant to Rule 13805 of the Code, the Arbitrator has made the following Rule 2080 affirmative finding of fact:

The registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds.

The Arbitrator has made the above Rule 2080 finding based on the following reasons:

In the underlying arbitration, the customers' claims against Morgan Keegan and Claimant were dismissed in their entirety. After consideration of the evidence and testimony at the hearing in this matter, the Arbitrator finds that Claimant did not misrepresent the investment to the customers. The customers' allegations were not supported by the

evidence. The failure of the bond funds was not due to any affirmative action on the part of Claimant, but rather the fund manager.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

FINRA Dispute Resolution Services assessed a filing fee* for each claim:

Initial Claim Filing Fee = \$ 50.00

**The filing fee is made up of a non-refundable and a refundable portion.*

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the events giving rise to the dispute. Accordingly, as a party, Respondent is assessed the following:

Member Surcharge = \$ 150.00

Hearing Session Fees and Assessments

The Arbitrator has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the Arbitrator, including a pre-hearing conference with the Arbitrator, which lasts four (4) hours or less. Fees associated with these proceedings are:

Two (2) pre-hearing sessions @ \$50.00/session = \$ 100.00

Pre-Hearing Conferences: June 11, 2020 1 session
August 17, 2020 1 session

One (1) hearing session on expungement request @ \$50.00/session = \$ 50.00

Hearing Date: September 9, 2020 1 session

Total Hearing Session Fees = \$ 150.00

The Arbitrator has assessed the total hearing session fees to Claimant.

All balances are payable to FINRA Dispute Resolution Services and are due upon receipt.

ARBITRATOR

Bill Swinford, Jr.

-

Sole Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument, which is my award.

Arbitrator's Signature

Bill Swinford, Jr.

Bill Swinford, Jr.
Sole Public Arbitrator

09/20/2020

Signature Date

Awards are rendered by independent arbitrators who are chosen by the parties to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

September 21, 2020

Date of Service (For FINRA Dispute Resolution Services use only)