

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant

[REDACTED]

Case Number:

[REDACTED]

vs.

Respondent

A. G. Edwards & Sons, Inc.

Hearing Site: Charlotte, North Carolina

Nature of the Dispute: Associated Person vs. Member

REPRESENTATION OF PARTIES

For Claimant [REDACTED]: Michael Bessette, Esq., AdvisorLaw, LLC,
Broomfield, Colorado.

For Respondent A. G. Edwards & Sons, Inc.: Demian J. Betz, Vice President & Senior
Counsel, Wells Fargo & Co. Legal Department, Charlotte, North Carolina.

CASE INFORMATION

Statement of Claim filed on or about: August 17, 2017.

[REDACTED] signed the Submission Agreement: October 17, 2017.

Statement of Answer filed by Respondent on or about: January 16, 2018.

A. G. Edwards & Sons, Inc. signed the Submission Agreement: January 16, 2018.

CASE SUMMARY

Claimant asserted the following cause of action: expungement.

Respondent asserted that the complaint that is the subject of Claimant's claim was reported in good faith and in compliance with governing regulatory requirements and other laws.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested compensatory damages in the amount of \$1.00, expungement of occurrence # [REDACTED] from his CRD records, and any and all other relief that the Arbitrator deems just and equitable.

In the Statement of Answer, Respondent took no position with Claimant's request for expungement.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrator acknowledges that he has read the pleadings and other materials filed by the parties.

The Arbitrator conducted a recorded telephonic hearing on May 1, 2018 so the parties could present oral argument and evidence on Claimant's request for expungement.

The customers in the underlying claims referenced in occurrence # [REDACTED] did not participate in the expungement hearing. The Arbitrator determined that the customers received a copy of the Statement of Claim and received due notice of the expungement hearing and that the hearing would proceed without the customers present. The customers did not oppose Claimant's request for expungement.

Claimant withdrew his request for compensatory damages at the hearing.

The Arbitrator reviewed the BrokerCheck® Report for [REDACTED].

The Arbitrator noted that Claimant did not previously file a claim requesting expungement of the same disclosure in the CRD.

AWARD

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

1. Claimant's request for expungement of his CRD records is denied.
2. Any and all claims for relief not specifically addressed herein are denied.

FEES

Pursuant to the Code of Arbitration Procedure, the following fees are assessed:

Filing Fees

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

Initial Claim Filing Fee	= \$ 50.00
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**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, A.G. Edwards & Sons, Inc. is assessed the following:

Member Surcharge = \$ 150.00

Postponement Fees

Postponements granted during these proceedings for which fees were assessed or waived:

February 21, 2018, postponement by Claimant Waived

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, that lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) pre-hearing session with a single arbitrator @ \$50.00/session = \$ 50.00
Pre-hearing conference: December 14, 2017 1 session

One (1) hearing session on expungement request @ \$50.00/session = \$ 50.00
Hearing Date: May 1, 2018 1 session

Total Hearing Session Fees = \$ 100.00

The Arbitrator has assessed the \$100.00 hearing session fees to Claimant.

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

ARBITRATOR

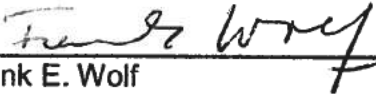
Frank E. Wolf

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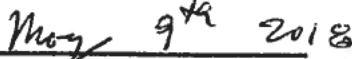
Sole Public Arbitrator

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



Frank E. Wolf
Sole Public Arbitrator



Signature Date

May 10, 2018
Date of Service (For FINRA Office of Dispute Resolution office use only)