

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant

████████████████████

Case Number: ██████████

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 ██████████: Eric Litow, Esq., AdvisorLaw, LLC, Broomfield, Colorado.

For Respondent A. G. Edwards & Sons, Inc.: Demian J. Betz, Esq., Wells Fargo Law Department, Charlotte, North Carolina.

CASE INFORMATION

Statement of Claim filed on or about: November 7, 2017.
Claimant signed the Submission Agreement: November 7, 2017.

Statement of Answer filed by Respondent on or about: January 26, 2018.
Respondent signed the Submission Agreement: January 26, 2018.

CASE SUMMARY

Claimant asserted the following cause of action: expungement.

In the Statement of Answer, Respondent did not oppose Claimant's expungement request.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested expungement of a customer complaint from his CRD records, compensatory damages of \$1.00, and any and all other relief as deemed just and equitable.

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

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 June 28, 2018 so that the parties could present oral argument and evidence on Claimant's request for expungement.

AWARD

After considering the pleadings, the testimony and evidence presented at the expungement 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, including compensatory damages, 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, Respondent A. G. Edwards & Sons, Inc. is assessed the following:

Member Surcharge	= \$ 150.00
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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 @ \$50.00/session		= \$ 50.00
Pre-hearing conference: February 23, 2018	1 session	

One (1) hearing session on expungement request @ \$50.00/session		= \$ 50.00
Hearing Date: June 28, 2018	1 session	

Total Hearing Session Fees		= \$100.00
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The Arbitrator has assessed the hearing session fees of \$100.00 to Claimant.

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

ARBITRATOR

Douglas Earl McLaren

- 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

1/5/ Douglas Earl McLaren
Douglas Earl McLaren
Sole Public Arbitrator

07/11/2018
Signature Date

JULY 12, 2018

Date of Service (For FINRA Office of Dispute Resolution office use only)