

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant
[REDACTED]

Case Number: [REDACTED]

vs.

Respondent
Wells Fargo Clearing Services, LLC

Hearing Site: Philadelphia, Pennsylvania

consolidated with

Claimant
[REDACTED]

Case Number: [REDACTED]

vs.

Respondent
Wells Fargo Clearing Services, LLC.

Hearing Site: Philadelphia, Pennsylvania

consolidated with

Claimant
[REDACTED]

Case Number: [REDACTED]

vs.

Respondents
Infinex Investments, Inc.
First Union Brokerage Services, LLC

Hearing Site: Philadelphia, Pennsylvania

Nature of the Dispute:

[REDACTED]
Associated Person vs. Member

[REDACTED]
Associated Person vs. Member

[REDACTED]
Associated Persons vs Members

REPRESENTATION OF PARTIES

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

For Respondent Wells Fargo Clearing Services, LLC: Demian J. Betz, Esq., Wells
Fargo Law Department, Charlotte, North Carolina.

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

For Respondent Wells Fargo Clearing Services, LLC: Demian J. Betz, Esq., Wells
Fargo Law Department, Charlotte, North Carolina.

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

For Respondent Infinex Investments, Inc.: Gregg Breitbart, Esq., Kaufman Dolowich &
Volack, LLP, Boca Raton, Florida.

For Respondent First Union Brokerage Services, LLC: Demian J. Betz, Esq., Wells
Fargo Law Department, Charlotte, North Carolina.

CASE INFORMATION

[REDACTED]
Statement of Claim filed on or about: October 3, 2017.

[REDACTED] signed the Submission Agreement: October 3, 2017.

Statement of Answer filed by Respondent Wells Fargo Clearing Services, LLC on or
about: January 16, 2018.

Wells Fargo Clearing Services, LLC signed the Submission Agreement: January 16,
2018.

[REDACTED]
Statement of Claim filed on or about: October 3, 2017.

[REDACTED] signed the Submission Agreement: October 3, 2017.

Wells Fargo Clearing Services, LLC did not submit an Answer or sign the Submission
Agreement.

[REDACTED]
Statement of Claim filed on or about: October 3, 2017.

[REDACTED] signed the Submission Agreement: October 3, 2017.

Statement of Answer filed by Respondent Infinex Investments on or about: November 21, 2017.

Infinex Investments, Inc. signed the Submission Agreement: November 21, 2017.

Statement of Answer filed by Respondent First Union Brokerage Services, Inc. on or about: March 27, 2018.

First Union Brokerage Services signed the Submission Agreement: March 27, 2018.

CASE SUMMARY

[REDACTED]
Claimant asserted the following cause of action: expungement of occurrence numbers [REDACTED] and [REDACTED] from his CRD records.

Respondent Wells Fargo Clearing Services, LLC took no position regarding Claimant's expungement request.

[REDACTED]
Claimant asserted the following cause of action: expungement of occurrence numbers [REDACTED] and [REDACTED] from his CRD records.

[REDACTED]
Claimant asserted the following cause of action: expungement of occurrence numbers [REDACTED] and [REDACTED] from his CRD records.

Respondent Infinex Investments, Inc. did not object to the expungement request.

Respondent First Union Brokerage Services, Inc. took no position on the eligibility of Claimant's expungement request.

RELIEF REQUESTED

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

In the Statement of Answer, Respondent Well Fargo Clearing Services requested cases [REDACTED] and [REDACTED] be consolidated.

At the conclusion of the hearing, Claimant withdrew his request for compensatory damages.

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

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

In the Statement of Answer, Respondent Infinex Investments, Inc. requested all processing and forum fees be assessed against Claimant.

In the Statement of Answer, Respondent First Union Brokerage Services, LLC requested FINRA case numbers [REDACTED], [REDACTED], and [REDACTED] be consolidated.

OTHER ISSUES CONSIDERED AND DECIDED

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

Respondent Infinex Investments, Inc., did not appear at the evidentiary hearing. Upon review of the file and the representations made on behalf of the Claimant, the Arbitrator determined that Respondent Infinex Investments, Inc., has been properly served with the Statement of Claim and received due notice of the hearing, and that arbitration of the matter would proceed without said Respondent present, in accordance with the Code.

Respondents Wells Fargo Clearing Services, LLC and First Union Brokerage Services, Inc. requested consolidation of case numbers [REDACTED], [REDACTED], and [REDACTED] in their Answers. By Order dated April 27, 2018, the Arbitrator granted the request.

The Arbitrator conducted a recorded in-person hearing on May 9, 2018 so the parties could present oral argument and evidence on Claimant [REDACTED] request for expungement.

The parties present at the hearing have agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

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

1. Claimant's claims for expungement of his CRD records are denied in their entirety.
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 firms that employed the associated persons at the time of the events giving rise to the dispute. Accordingly, as a party Wells Fargo Clearing Services, LLC, 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 with a single arbitrator @ \$50.00/session	=\$ 50.00
Pre-hearing conference: January 17, 2018	1 session

Two (2) hearing sessions on expungement request @ \$50.00/session	=\$100.00
Hearing Date: May 9, 2018	2 sessions

Total Hearing Session Fees	=\$150.00
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The Arbitrator has assessed the \$150.00 hearing session fees to Claimant.

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

ARBITRATOR

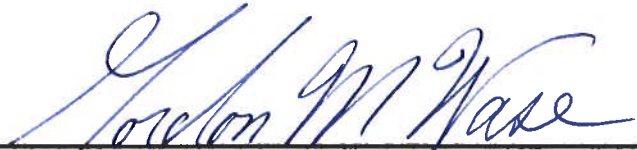
Gordon M. Wase

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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



Gordon M. Wase
Sole Public Arbitrator



Signature Date

July 23, 2018

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