

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant

████████████████████

Case Number ██████████

vs.

Respondent

Northwestern Mutual Investment Services, LLC

Hearing Site: Cincinnati, Ohio

Nature of the Dispute: Associated Person vs. Member

REPRESENTATION OF PARTIES

For Claimant ██████████ ("Claimant"): Eric Litow, Esq., AdvisorLaw, LLC, Westminster, Colorado.

For Respondent Northwestern Mutual Investment Services, LLC ("Respondent"): Thomas K. Anderson, Esq., Northwestern Mutual, Milwaukee, Wisconsin.

CASE INFORMATION

Statement of Claim filed on or about: March 9, 2018.

Claimant signed the Submission Agreement: March 9, 2018.

Statement of Answer filed on or about: May 25, 2018.

Respondent signed the Submission Agreement: May 24, 2018.

CASE SUMMARY

In the Statement of Claim, Claimant asserted a claim seeking expungement of a customer complaint, Occurrence Number ██████████, from his registration records maintained by the Central Registration Depository ("CRD").

In the Statement of Answer, Respondent denied any allegation of wrongdoing. In addition, Respondent did not consent to Claimant's request for expungement. Finally, Respondent objected to Claimant's demand for monetary damages in the amount of \$1.00 and asserted various affirmative defenses.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested expungement, compensatory damages in the amount of \$1.00, and any and all other relief that the Arbitrator deems just and equitable.

In the Statement of Answer, Respondent requested that Claimant's claim for compensatory damages be denied and that all forum or hearing fees relating to this matter be assessed solely to Claimant.

At the hearing, Claimant withdrew his request for compensatory damages in the amount of \$1.00.

OTHER ISSUES CONSIDERED AND DECIDED

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

On or about December 14, 2018, the customer filed a written submission objecting to the expungement request.

The Arbitrator conducted recorded, telephonic hearings on November 26, 2018 and December 20, 2018, for the presentation of evidence on Claimant's request for expungement. Respondent participated in the expungement hearings and contested the request for expungement. The customer participated in the expungement hearings and contested the request for expungement.

AWARD

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

1. [REDACTED] 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, Respondent 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(s), including a pre-hearing conference with the arbitrator(s), 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: August 9, 2018	1 session

Two (2) hearing sessions on expungement request @ \$50.00/session	= \$ 100.00
Hearing Dates: November 26, 2018	1 session
December 20, 2018	1 session

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

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

ARBITRATOR

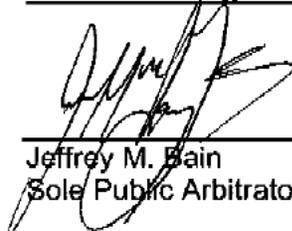
Jeffrey M. Bain

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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



Jeffrey M. Bain
Sole Public Arbitrator



Signature Date

January 29, 2019

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