

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant

████████████████████

Case Number: ██████████

vs.

Respondent

UBS Financial Services Inc.

Hearing Site: Los Angeles, California

Nature of the Dispute: Associated Person vs. Member

REPRESENTATION OF PARTIES

For Claimant ██████████ ("Claimant"): Harris Freedman, Esq., Of Counsel, HLBS Law, Westminster, Colorado.

For Respondent UBS Financial Services Inc. ("Respondent"): Natalie Lagunas, Esq., Keesal, Young & Logan, Long Beach, California.

CASE INFORMATION

Statement of Claim filed on or about: December 20, 2018.
Claimant signed the Submission Agreement: December 21, 2018.

Statement of Answer filed by Respondent on or about: February 25, 2019.
Respondent signed the Submission Agreement: January 9, 2019.

CASE SUMMARY

Claimant asserted a claim seeking expungement of two customer complaints, occurrence numbers ██████████ and ██████████ and a NYSE Arbitration case, occurrence number ██████████ ("Underlying Claims") from her Central Registration Depository ("CRD") records.

In the Statement of Answer, Respondent advised that it does not oppose Claimant's expungement request.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested:

1. Expungement of the Underlying Claims from her CRD records pursuant to FINRA Rule 2080(b)(1)(A), as the claim, allegation, or information is factually impossible or clearly erroneous;

2. Expungement of occurrence number [REDACTED] from her CRD records pursuant to FINRA Rule 2080(b)(1)(B), as Claimant was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds;
3. Expungement of the Underlying Claims from her CRD records pursuant to FINRA Rule 2080(b)(1)(C), as the claim, allegation, or information is false;
4. Damages in the amount of \$1.00 from Respondent; and
5. Any and all other relief that the Arbitrator deems just and equitable.

In the Statement of Answer, Respondent opposed the request for damages in the amount of \$1.00.

At the hearing, Claimant withdrew her request for \$1.00 in damages from Respondent.

OTHER ISSUES CONSIDERED AND DECIDED

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

On June 24, 2019, Claimant provided notice that a copy of the Statement of Claim and notice of the expungement hearing had been served on the following: the customer in occurrence number [REDACTED] ("Mr. F"); the customers in occurrence number [REDACTED] ("Mr. and Ms. K"); and the customer in occurrence number [REDACTED] ("Mr. P"). Hereinafter, Mr. F, Mr. and Ms. K, and Mr. P are collectively referred to as "Customers."

On July 1, 2019, Claimant filed an Affidavit of Service, signed by Claimant's counsel, advising that the Customers had been served with copies of the Statement of Claim.

The Arbitrator conducted a recorded telephonic hearing on July 24, 2019 so the parties could present oral argument and evidence on Claimant's request for expungement.

The parties present at the hearing have agreed that a handwritten, signed Award may be entered.

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 the Underlying Claims, occurrence numbers [REDACTED] from her 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

**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(s) that employed the associated person(s) at the time of the event(s) 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(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: May 2, 2019 1 session

One (1) hearing session on expungement request @ \$50.00/session = \$50.00
Hearing Date: July 24, 2019 1 session

Total Hearing Session Fees = \$100.00

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

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

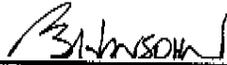
ARBITRATOR

Robert B. Hansohn

- 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



Robert B. Hansohn
Sole Public Arbitrator



Signature Date

July 29, 2019

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