

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant

████████████████████

Case Number: ██████████

vs.

Respondent

Royal Alliance Associates, Inc.

Hearing Site: Portland, Oregon

Nature of the Dispute: Associated Person vs. Member

REPRESENTATION OF PARTIES

For Claimant ██████████ ("Claimant"): Christopher Cummins, Esq. and
Dochtor Kennedy, MBA, J.D., AdvisorLaw, LLC, Westminister, Connecticut.

For Respondent Royal Alliance Associates, Inc. ("Respondent"): Bradley A. Fishman,
Esq., Royal Alliance Associates, Inc., Jersey City, New Jersey.

CASE INFORMATION

Statement of Claim filed on or about: March 8, 2018.

Claimant signed the Submission Agreement: March 8, 2018.

Statement of Answer filed by Respondent on or about: April 30, 2018.

Respondent signed the Submission Agreement: April 30, 2018.

CASE SUMMARY

Claimant asserted a claim seeking expungement of a customer complaint, occurrence
number ██████████ ("Underlying Complaint") from his Central Registration Depository
("CRD") records.

In its Statement of Answer, Respondent advised that it will not oppose Claimant's request
for expungement and asserted various affirmative defenses.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested:

1. Expungement of the Underlying Complaint from his CRD records pursuant to
Rule 2080(b)(1)(A), as the claim, allegation, or information is factually or clearly

- erroneous;
2. Expungement of the Underlying Complaint from his CRD records pursuant to Rule 2080(b)(1)(C), as the claim, allegation, or information is false;
 3. Compensatory damages in the amount of \$1.00 from Respondent; and
 4. Any and all other relief that the Arbitrator deems just and equitable.

In the Statement of Answer, Respondent did not set forth a specific relief request.

OTHER ISSUES CONSIDERED AND DECIDED

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

The Arbitrator conducted a recorded telephonic hearing on February 12, 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 Complaint, occurrence number [REDACTED] his CRD records is denied.
2. Claimant's request for \$1.00 in damages is denied.
3. 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:

Two (2) pre-hearing sessions with a single arbitrator @ \$50.00/session = \$100.00
Pre-hearing conferences: June 18, 2018 1 session
January 9, 2019 1 session

One (1) hearing session on expungement request @ \$50.00/session = \$50.00
Hearing Date: February 12, 2019 1 session

Total Hearing Session Fees = \$150.00

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

Katherine H. O'Neil

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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



Katherine H. O'Neil
Sole Public Arbitrator



Signature Date

February 14, 2019

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