

Award
FINRA Office of Dispute Resolution

In the Matter of the Arbitration Between:

Claimant

Case Number: [REDACTED]

vs.

Respondent

Hearing Site: Houston, Texas

UBS Financial Services Inc.

Nature of the Dispute: Associated Person vs. Member

REPRESENTATION OF PARTIES

For Claimant [REDACTED] ("Claimant"): Dochter Kennedy, Esq. and Harris Freedman, Esq., AdvisorLaw, LLC, Westminster, Colorado.

For Respondent UBS Financial Services Inc. ("Respondent"): Joelle A. Simms, Esq., Bressler, Amery & Ross, P.C., Fort Lauderdale, Florida.

CASE INFORMATION

Statement of Claim filed on or about: April 13, 2018.

Claimant signed the Submission Agreement: April 13, 2018.

Statement of Answer filed on or about: May 30, 2018.

Respondent signed the Submission Agreement: April 17, 2018.

CASE SUMMARY

Claimant asserted a claim seeking expungement of a customer complaint from his registration records maintained by the Central Registration Depository ("CRD").

In the Statement of Answer, Respondent stated that it did not oppose Claimant's request for expungement and that it did not anticipate appearing further in this case.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested expungement of Occurrence Number [REDACTED], an award of \$1.00 in compensatory damages, and any and all other relief the Arbitrator deems just and appropriate.

In the Statement of Answer, Respondent did not request any relief.

On the record at the hearing, Claimant withdrew his request for \$1.00 in compensatory damages.

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 January 25, 2019, so the parties could present oral argument and evidence on Claimant's request for expungement. Neither Respondent nor the customers participated in the expungement hearing.

AWARD

After considering the pleadings, the testimony, and the 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 Occurrence Number [REDACTED] from 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
--------------------------	------------

**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
------------------	------------

ARBITRATOR

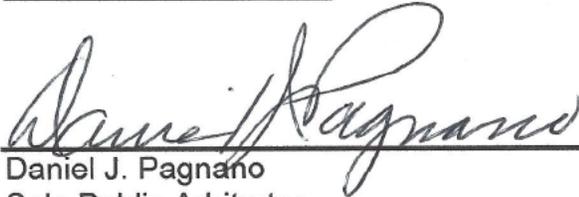
Daniel J. Pagnano

-

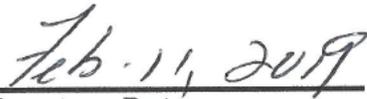
Sole Public Arbitrator

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



Daniel J. Pagnano
Sole Public Arbitrator



Signature Date

02/12/19

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