

PIABA AND THE PIABA FOUNDATION

2021 UPDATED STUDY ON FINRA EXPUNGEMENTS

**A SERIOUSLY FLAWED PROCESS
THAT SHOULD BE FIXED NOW
TO PROTECT THE INTEGRITY OF THE PUBLIC RECORD**

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On Behalf of PIABA and The PIABA Foundation



ABOUT THE GROUPS AND ACKNOWLEDGMENTS

The Public Investors Advocate Bar Association is an international bar association whose members represent investors in disputes with the securities industry. Currently, there are members from 44 states, Puerto Rico, and Japan. The mission of PIABA is to advocate for equal access to justice for investors in all forums. PIABA works to promote fairness in the rules governing dispute resolution for investor claims against securities and commodities brokerage firms, registered investment advisory firms, and their associated representatives. PIABA also works toward creating, improving, and enforcing statutes, rules, regulations, case law, and policies designed to promote investor rights and to prevent misconduct by those who sell investments to the public. [REDACTED]

The PIABA Foundation is a 501(c)(3) charitable organization that was formed in 2012 by attorneys who are devoted to representing investors in disputes with brokers and brokerage firms in FINRA arbitrations. The Foundation's mission is to promote investor protection through investor education. The Foundation's research and work to release this Study was performed by attorney volunteers with experience in representing parties in FINRA's arbitration process and the funds to purchase the data for this Study were paid for through charitable donations. The Foundation would like to thank our donors for making this important Study a reality.

PIABA and the PIABA Foundation would like to thank Peter Mougey, Richard Frankowski, Jennifer Shaw, Richard Lewins, Sam Edwards and Thomas Mauriello as well as the members of the PIABA Board for your input and support. Special thanks to Michael Edmiston and Benjamin P. Edwards for your input and edits. Also special thanks to the students in the 2021 Public Policy Clinic at the University of Nevada, Las Vegas William S. Boyd School of Law for sharing insights they gained by representing non-party customers in expungement hearings.

BROKERCHECK AND EXPUNGEMENT

FINRA's BrokerCheck tool provides critical information about brokers that helps investors make informed decisions about who they allow to manage their life savings. Accurate and complete complaint history on brokers is also critical to preserve the ability of state and federal securities regulators to identify bad brokers to help these regulators perform their regulatory functions.

For years, PIABA and the PIABA Foundation ("Foundation") have documented and studied how FINRA's expungement arbitration process has allowed brokers and brokerage firms to erase valid complaints from their publicly available complaint histories. The findings of those studies are documented in reports published in 2013, 2019, and now in 2021.

In 2013, PIABA released a report that analyzed approximately 1,600 arbitration awards rendered in cases initiated by investors against brokerage firms and/or brokers for cases filed during the five-year time period between January 1, 2007 and December 31, 2011. Most of these arbitration awards were rendered by a panel of three arbitrators and expungement requests were made in the underlying customer arbitrations. That "2013 Study" showed that arbitrators granted expungement requests approximately 90% of the time ("2013 Study"). A copy of PIABA's 2013 Study can be found on the Foundation's website at www.piabafoundation.org.

At that time, brokers and brokerage firms were gaming the expungement process by conditioning settlements with investors on their agreement not to oppose expungement requests in the underlying customer disputes. PIABA recommended that FINRA prohibit its members from conditioning settlements on investors' agreement not to oppose expungements. PIABA also recommended that FINRA provide additional arbitrator training to try and solve the problem of arbitrators granting expungement requests too frequently.

2013 AND 2019 FINDINGS & FINRA CHANGES

After the release of the 2013 Study, FINRA changed the rules to prohibit its members from conditioning settlement on an investor's agreement not to oppose subsequent expungement requests. FINRA's current guidance on expungements states in pertinent part:

Effective July 30, 2014, FINRA Rule 2081 prohibits firms and registered representatives from conditioning settlement of a customer dispute on—or otherwise compensating a customer for—the customer's agreement to consent to, or not to oppose, the firm's or representative's request to expunge such information from CRD.¹

FINRA also committed to provide additional expungement training to arbitrators to try and ensure only appropriate expungement requests were granted, thus reducing the number of expungements being granted. Additional training did not work. Moreover, brokers and brokerage firms found new ways to game the expungement process.

In October 2019, the Foundation released a study which examined 1,078 expungement arbitration awards from January 1, 2015 to July 31, 2019 (“2019 Study”). The 2019 Study found that beginning in 2014-2015, brokers changed tactics from requesting expungement in underlying customer arbitrations to waiting until the conclusion of customers’ dispute and filing a new separate arbitration solely against their brokerage firm requesting expungement of the customer claims, i.e., straight-in expungements. A straight-in expungement case is an arbitration initiated by a broker against their current or former brokerage firm solely for the purpose of seeking expungement. The customer who made the complaint is not a party.

Brokers and brokerage firms also started gaming FINRA’s arbitration process by including a bogus demand for \$1.00 in damages to reduce the number of arbitrators considering expungement requests from a panel of three arbitrators to a single arbitrator. The “\$1.00 trick” also saved brokers and brokerage firms thousands of dollars per case. The 2019 Study found that by allowing its members to file these cases, FINRA lost over \$6 million in revenue.

The 2019 Study also found that not much had changed: brokers requested that over 2,000 customer complaints be expunged from their records and arbitrators granted those requests in over 80% of the cases. Clearly, despite more training, expungement requests were not treated as an extraordinary remedy.

SUMMARY OF 2021 UPDATED STUDY FINDINGS

¹ See <https://www.finra.org/arbitration-mediation/notice-arbitrators-and-parties-expanded-expungement-guidance>.

PIABA and the Foundation provide this updated Study (“2021 Updated Study”), which analyzes seven hundred (700) additional expungement awards from August 1, 2019 to October 31, 2020.

The results are clear. Arbitrators have continued to grant expungement requests 90% of the time, and the data shows that FINRA’s arbitration process allows brokers and brokerage firms to make expungement requests to arbitrators that are unopposed the vast majority of the time.

FINRA’s expungement process does not provide those with an interest in the outcome of the expungement request, *e.g.*, securities regulators and the customers who submitted the complaints, a meaningful opportunity to present evidence opposing expungement when appropriate.

The solution is simple. To effectively prevent expungements of valid customer complaints, FINRA must provide a meaningful opportunity for those with an interest in the outcome of the expungement request, *e.g.*, securities regulators and the customers who submitted the complaints, to present evidence opposing expungement, when appropriate. FINRA’s current expungement arbitration process provides no notice to state regulators until after an award granting expungement is issued and broker seeks to have a final arbitration award confirmed by a court of law. In addition, FINRA’s arbitration rules do not provide a way for state regulators to participate in the expungement arbitration where they can review the validity of the claim and present evidence opposing the expungement request.

While the current expungement process provides notice to customers so they can appear, it does not have safeguards to ensure that customers can participate in a meaningful way.

While FINRA’s current rule proposal purports to stop some of the abusive tactics used by brokers and brokerage firms in the arbitration proceedings that were identified in the 2019 Study, the proposed changes will not decrease the high percentage (90%) of expungements being granted. Without an opposing party in the expungement arbitrations, brokers and brokerage firms will continue to obtain expungements of customer complaints that are valid and valuable to securities regulators and the investing public.

The Securities Exchange Commission (“SEC”) is currently considering whether to approve FINRA’s proposed rule changes. The deadline for the SEC to approve FINRA’s proposed rule change is May 28, 2021.

While PIABA and the Foundation appreciate FINRA efforts to improve its process, the data all from all three PIABA/Foundation studies, which analyzed a total of 3,378 expungement awards over a period spanning fourteen (14) years, shows that FINRA’s current proposed plan to require a panel of three randomly selected arbitrators from a special roster will not significantly reduce the percentage of expungement requests. This is because the proposed rule will still allow brokers to present unopposed expungement requests. More training will not work. As the data conclusively demonstrates, since FINRA implemented enhanced expungement training in 2014, expungements are still being granted approximately 90% of the time. The data strongly indicates that arbitrators are granting expungement requests 90% of the time because they are being provided with one-sided presentations about the merits of the customer complaints, not because of lack of training.

This Updated Study also provides an example in a currently pending straight-in expungement arbitration of gamesmanship used by brokers and brokerage firms that demonstrate that the process is not designed for customers to meaningfully participate and oppose expungement requests without an attorney willing to handle the case *pro bono*.

If the SEC approves FINRA’s current proposed incremental rule changes, it will likely be several more years until this issue is revisited. In the meantime, brokers and brokerage firms will find new ways to game the system and thousands of additional valid customer complaints will be wrongfully erased from the public record. These erasures not only hurt the investing public who need accurate background information on brokers when selecting a trusted financial professional, but it also will harm securities regulators’ ability to perform their critical regulatory functions.

Now is the time to fix the systemic problem and craft a solution that ensures that arbitrators treat expungement as an extraordinary remedy. The time has come for state securities regulators and customers to have a meaningful opportunity to participate in these expungement proceedings directly or through an advocate so that, when appropriate, evidence opposing expungement can be presented to arbitrators.

Finally, recognizing the reality that customers are not going to pay an attorney to represent them in these expungement proceedings, the Foundation started a program that coordinates with attorneys and law school clinics to represent customers who wish to participate and oppose expungement requests *pro bono*. The costs necessary to administer this *pro bono* program and the expenses for customers and attorneys to participate in these expungement proceedings in arbitration, (*e.g.*, court reporter costs) will also be funded through charitable donations. If you wish to support this important work, please visit our website, www.piabafoundation.org.

CRD AND STANDARD FOR GRANTING EXPUNGEMENT

The Financial Industry Regulatory Authority (“FINRA”) works with state securities regulators to maintain a database, known as the Central Registration Depository (“CRD”), of information on individuals working as current and former registered representatives in the brokerage industry. Complaints by investors, for example, are included in the CRD records. Those records can be accessed by the public through FINRA’s BrokerCheck tool on FINRA’s website, as well as obtained from some state securities regulators. FINRA and state and federal securities regulators actively encourage investors to use FINRA’s BrokerCheck tool and look for customer complaints when deciding whether to hire a particular broker to manage the customer’s life savings. Therefore, as FINRA recognizes, it is important that the information on the CRD system, and by extension BrokerCheck, be complete and accurate.

To remove customer complaint information from the CRD system, a broker must request that the information be expunged. A broker can request expungement in the customer arbitration if one is filed. A broker also may request expungement in a separate case. If an arbitration panel grants the request and the broker obtains court confirmation of the arbitration award, FINRA removes the information from the CRD system. FINRA instructs arbitrators that customer complaints should be removed from a broker’s CRD only in **extraordinary circumstances**. FINRA instructs arbitrators to grant the extraordinary remedy of expungement only after they make an affirmative finding that:

- (A) the claim, allegation or information is factually impossible or clearly erroneous;
- (B) the registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds; or

(C) the claim, allegation or information is false.

Over time, FINRA has expanded the type of customer complaints that must be reported on a broker's CRD. In May 2009, FINRA expanded its rules to require CRD reporting of customer complaints even if the financial advisor is not named as a party to the arbitration. That change resulted in a drastic increase in the number of complaints being reported, and in turn, a drastic increase in the number of expungements being sought. Since then, advocates for and against the expungement process have debated the best way to effectively balance the competing interests of full and complete disclosure and protection of brokers' reputations.

The 2019 Study illustrated that FINRA's expungement arbitrations were being systematically gamed, exploited and abused with one-sided hearings. The gamesmanship also involved the manipulation of arbitrator selection, the expungement of large groups of customer complaints in one arbitration proceeding and included abusive conduct by the brokers and broker-dealer respondents to such an extent that the Foundation recommended that the entire process be frozen until it could be repaired.

CURRENT FINRA PROPOSAL

After the release of the 2019 Study, FINRA proposed changes to the expungement process that, if approved, it claims would correct many of the problems identified in the 2019 Study. The Securities Exchange Commission ("SEC") is currently considering whether to approve FINRA's proposed rule changes and the current deadline for the SEC to make a decision on whether to approve FINRA's proposed changes is May 28, 2021.

PIABA and the Foundation appreciate FINRA efforts to incrementally improve the process. However, the data illustrated below shows that FINRA's proposed changes will not fix the systemic problem of arbitrators continuing to grant expungement requests too frequently, because the expungement process does not provide state regulators and customers, who have a vested interest in the outcome of the expungement requests, a meaningful opportunity to participate and present evidence opposing the expungement.

FINRA concedes that arbitrators historically have not treated expungement requests as an extraordinary remedy. FINRA's current proposed solution is to create a roster of specially trained expungement arbitrators from the chair-qualified

arbitrator roster to decide expungement cases and require a panel of three (3) randomly selected arbitrators from that roster to decide expungement requests. As explained below, an analysis of historical arbitration awards going back more than a decade demonstrates that these methods have already been tried and have failed. These changes will not reduce the percentage of expungement requests being granted.

DATA SHOWS FINRA PROPOSAL IS NOT THE SOLUTION

A summary of the pertinent data showing why FINRA's proposal is fatally flawed is below:

I. Summary of Findings

A. Number of Expungement Requests Remains High

2019 Study:

The 2019 Study showed that there was an explosive increase in the filing of what are known as straight-in expungement cases, which rose 924% from 59 in 2015 to 545 in 2018. As explained above, a straight-in expungement case is an arbitration initiated by a broker against their current or former brokerage firm solely for the purpose of seeking expungement. The customer who made the complaint is not a party.

2021 Update Study:

The updated data finds that the number of expungement requests per year remains very high. For example, there were 700 expungement awards from August 1, 2019 to October 31, 2020.

B. Average Number of Complaints Sought to be Expunged per Case Remains Steady

2019 Study:

The 2019 Study showed that the number of customer complaints requested to be expunged increased by 1016% from 102 in 2015 to 1,026 in 2018. For example, brokers requested that 2,194 customer complaints be expunged in 1,078 arbitration awards issued during the time-period analyzed, an average of two complaints per

case. In 2018, the highest number of customer complaints put at issue in one case was thirteen (13).

2021 Updated Study:

The updated data shows that the number of expungement requests per case continues to be high. For example, brokers requested that 1,360 customer complaints be expunged in the 700 awards, approximately two complaints per case. The highest number of complaints sought to be expunged in a single case was twenty-nine (29).

C. Brokerage Firms Continue to Consent to Expungement Requests by Brokers

2019 Study:

The 2019 Study showed that expungement proceedings are rarely adversarial. Of the 1,078 cases analyzed, the respondent brokerage firm did not object or otherwise oppose the individual broker's expungement request 1,055 times – over 98% of the time. This demonstrated that brokers and their firms have a common interest in erasing customer complaints from the brokers' records and, as a result, are not truly in opposition to each other in a straight-in expungement case.

2021 Updated Study:

The updated data shows that straight-in expungements have continued as non-adversarial proceedings and that broker-dealer respondents continued not to oppose expungement requests 98% of the time.

D. Customer Participation in Expungement Proceedings Remains Low

2019 Study:

The 2019 Expungement Study shows that of the 1,078 expungement cases filed between 2015 and 2019, customers appeared to oppose the expungement requests only 141 times – approximately 13% of the time.

2021 Updated Study:

The updated data shows that customers continue not to participate in the vast majority of expungement proceedings. Customers appeared to oppose the expungement requests of brokers only 106 times – approximately 15% of the time. That arbitrators are routinely deciding expungement requests without input from anyone other than the broker and brokerage firm, which have a common interest in expungement.

E. Whether One Arbitrator or Three Arbitrators – FINRA Expungements Are Granted at About the Same Rate

2019 Study:

The 2019 Study showed that overall, expungement requests were granted 81% of the time. A panel of three arbitrators was only slightly more likely to deny expungement requests than a single arbitrator. The data showed that in 2018, panels of three arbitrators granted expungement 88% of the time, and single arbitrator panels granted expungement 87% of the time.

2021 Updated Study:

The updated data shows that from July 2019 to October 31, 2020, expungement requests were granted in part in 90% of the straight-in expungement cases and a panel of three arbitrators is only slightly more likely to deny expungement requests than a single arbitrator. The data shows that panels of three arbitrators grant expungement 89% of the time and single arbitrator panels grant expungement 84% of the time.

F. FINRA’s Proposal of Three-Arbitrator Panels of Specialists Will Not Solve the Problem

FINRA’s proposed rule seeks to reduce the rate at which expungements are granted by requiring that the cases be heard by a panel of three arbitrators, instead of a single arbitrator. The 2019 and 2021 data show that a panel of three arbitrators is only slightly less likely to grant expungement as a single arbitrator. The systemic problem is that the expungement requests are treated by the parties and arbitrators as unopposed motions.

This conclusion is further supported by PIABA's 2013 Expungement Study, which analyzed approximately 1,600 expungement requests rendered in customer-initiated arbitrations or as a separate straight-in cases filed during the five-year time period between January 1, 2007 and December 31, 2011. Most, if not all, of these arbitration awards were rendered by a panel of three arbitrators and the data showed that expungement requests were granted approximately 90% of the time. In the 2013 Study, PIABA recommended that FINRA provide additional training with the hope that more training would reduce the high rate of expungements being granted. FINRA did provide more expungement training to arbitrators, but as shown in the 2019 Study and 2021 Updated Study, additional training has not reduced the high rate of expungements being granted.

G. Arbitrators Are Much More Likely to Deny Expungement Requests When Interested Parties Oppose the Request.

2019 Study:

The 2019 Study showed that arbitrators are 4 times more likely to deny expungement requests when customers oppose expungement. The 2019 Expungement Study shows that of the 1,078 expungement cases filed between 2015 and 2019, customers appeared to oppose the expungement requests only 141 times – approximately 13% of the time. Over the entire period analyzed, the study found, however, that when customers opposed expungement, arbitrators denied the requests 36% of the time. In contrast, when customers did not object or participate, arbitrators denied the expungement request only 9% of the time. Based on this data, the 2019 Expungement Study concluded that arbitrators are 4 times more likely to deny an expungement request when customers object.

2021 Updated Study:

The updated data shows that arbitrators are 5.4 times more likely to deny expungement when the respondent brokerage firm opposes expungement and are 4.3 times more likely to deny expungement when customers oppose expungement.

RECOMMENDATION: ESTABLISH AN INVESTOR ADVOCATE

FINRA should provide a meaningful opportunity for those with an interest in the outcome of the expungement request, such as state securities regulators and customers who lodged complaints at issue, to present evidence opposing the request, when appropriate. FINRA's current rule proposal does not solve the systemic problem that arbitrators do not treat expungement requests as an extraordinary remedy.

Expungement is a regulatory decision that should be placed in the hands of regulators. If the expungement process is going to remain in FINRA arbitration, however, PIABA and the Foundation recommend that FINRA and the SEC create and embed an advocate ("Advocate") into the expungement process similar to the role that a *guardian ad litem* serves in a court case. The purpose of the Advocate would be to protect the integrity of CRD data, which are state records and which the investing public is encouraged to rely on as current and accurate.

At this time, state securities regulators are not notified when a broker files a petition for expungement. FINRA should provide state securities regulators with notice of the expungement request at the time that the petition for expungement is filed **and give them a meaningful opportunity to participate in the arbitration proceeding –either by permitting them to intervene in the arbitrations directly or permitting them to participate indirectly through the Advocate.**

Under the current system, the notice FINRA provides to state regulators – through NASAA, the association representing state regulators – is provided only after a petition for expungement has been granted and the broker seeks to confirm that arbitration award in a court of law. At that time, states must very quickly decide whether to intervene and oppose expungement without having adequate information to make that decision.

Under FINRA's current proposal, FINRA would notify NASAA within thirty (30) days of when a "complete" expungement request is filed in arbitration, which is earlier in the process. But, as NASAA explained in its comment letter in response to the proposed rule change, earlier notice to state securities regulators is meaningless if the regulators are not provided a meaningful opportunity to participate in the expungement arbitration proceeding. NASAA explains this problem in its comment letter as follows:

While it is true that NASAA would receive earlier notice, this notice alone would not address the fact that NASAA members would have no opportunity to intervene during the arbitration hearing. Although states would be notified that a broker is requesting an expungement and the occurrence number, there would be no meaningful disclosure of information on which to assess the expungement request, nor would there be a legal mechanism to facilitate regulator involvement, the critical part of our 2018 framework that is missing from the current Proposal. The bottom line is that the Proposal fails to provide a pathway to contest the expungement relief request during the arbitration should a state determine it is appropriate to do so. Without NASAA's members having a legal mechanism to intervene at this stage of the arbitration, notice is either meaningless or could force an investigation into every situation in which a broker requests expungement. While NASAA appreciates FINRA's willingness to give it earlier notice of expungements, NASAA strongly prefers this relief be deferred to a proposal that would allow states to act on it.²

The Advocate, acting independently or through state securities regulators, would serve to advocate for the integrity of the CRD regulatory record and would be responsible for investigating the validity of the customer complaint, obtaining and reviewing relevant documents, as well as interviewing the customer, customer's counsel, and any other relevant witnesses. The Advocate would assist those customers who want to appear and oppose the request, when appropriate. The Advocate could also participate in the expungement hearing by making an opening statement, cross examining the individual broker, presenting testimony and documents, and providing a written report with a recommendation to the arbitration panel on whether expungement should be granted.

Logistically, this could be accomplished in several ways. The Advocate role could be embedded into the arbitration process to assist the arbitrators in gathering information and making a recommendation on whether to grant expungement. The Advocate could assist customers interested in opposing expungement as well.

² See NASAA Comment Letter dated October 22, 2020 at <https://www.sec.gov/comments/sr-finra-2020-030/srfinra2020030-7936105-224674.pdf>.

Alternatively, the Advocate could work with state securities regulators to help them decide whether to participate in and oppose expungement.

For those customers who settled their cases, there is the real risk of the broker or brokerage firm suing them for breach of confidentiality or non-disparagement provisions in their settlement agreements and potentially forfeiting their settlement payments. FINRA's rules do not allow brokerage firms to condition settlement on a customer's agreement not to oppose expungement, but it not reasonable to believe that a customer without an attorney could find that rule and navigate other the legal considerations of opposing expungement. As a result, without an Advocate, *pro se* customers will largely continue to choose not to participate in expungement proceedings regardless of when they are notified that a petition for expungement has been filed.

Rather than create a mechanism through state regulators and/or an Advocate to present evidence opposing expungement request, FINRA's rule proposal places the burden solely on arbitrators to investigate and oppose expungement when appropriate. Arbitrators are required to be neutral, not advocates for or against a position. Imposing such a burden on arbitrators in unopposed straight-in expungements is wholly inconsistent with their role as neutral factfinders and decisionmakers. As a result, the solution is not (1) to increase the number of arbitrators per case or (2) to blur the traditional roles of arbitrator and advocate or (3) to require additional training or (4) to create a special roster of arbitrators as FINRA has proposed. The data shows that arbitrators are treating straight—in expungement requests like unopposed motions. The solution is to have someone like the Advocate represent stakeholders in the integrity of the CRD system. The Advocate and/or state securities regulators must have a meaningful opportunity to inquire into facts indicating that expungement should be denied and present those facts in the expungement proceeding.

In further support of this recommendation, in October 2019, the Foundation created a *pro bono* expungement program where attorneys who are experienced in FINRA arbitrations volunteer to represent customers in opposing expungement. The Foundation is pleased to announce it has successfully represented several customers in opposing expungements. The Foundation is also grateful for the insights of students and faculty from The University of Nevada, Las Vegas, William S. Boyd School of Law's Public Policy Clinic, which also provided *pro bono* representation of customers opposing expungement.

The Foundation has found the process to be rewarding not only through obtaining awards denying expungement requests, but also in gaining a better

understanding of the obstacles to customers being able to oppose expungement requests. Expense is the greatest obstacle. Because the expungement process is simply too daunting for the vast majority customers to represent themselves *pro se* (it is opaque and difficult for attorneys to navigate), customers who want to oppose expungement are facing having to spend thousands of dollars to retain an attorney to represent them. FINRA's Revised Proposal for earlier notice to customers does not cure this problem.

If the SEC approves FINRA's current proposed rule changes, it will likely be several more years until this issue is revisited. In the meantime, thousands of additional customer complaints will be wrongfully erased from public records. These erasures not only hurt the investing public who need accurate background information on brokers when selecting a trusted financial professional but erasing records harm securities regulators' ability to perform their regulatory functions.

STUDY METHODOLOGY

In preparing this 2021 Updated Study, the Foundation supplemented its data from the 2019 Study and reviewed data that it requested Securities Arbitration Commentator (SAC) to provide with respect to all arbitration awards issued in straight-in expungement cases filed from July 1, 2019 through October 31, 2020 (the "Review Period"). The data from 2019 Study is listed below along with the new updated data to better demonstrate long-term trends.

The Foundation requested that SAC extract the following information for each award and for each case:

- (a) Docket No;
- (b) Venue;
- (c) Date Case Filed;
- (d) First Date of Evidentiary Hearing;
- (e) Date Award Issued;
- (f) Name of Respondent(s);
- (g) Name of Respondents' Attorney (Firm);
- (h) Name of Claimant Broker;
- (i) Name of Broker's Attorney (Firm);
- (j) Whether Respondent BD Objected to Expungement;
- (k) Whether Customer Objected to Expungement;
- (l) Number of customer complaints requested to be expunged;
- (m) Name of broker requesting expungement;

- (n) Name of Arbitrator;
- (o) Number of Hearing Sessions.

See SAC Spreadsheet #1 attached as Exhibit A.

To prepare the report, the Foundation used the information from Exhibit A to create a Consolidated Spreadsheet, which is attached as Exhibit B.

DETAILED FINDINGS

I. Expungements Are Not Treated As An Extraordinary Remedy, As They Were Intended.

1. FINRA has always taken the position that expungement is an extraordinary remedy and should only be granted in appropriate circumstances.³ Yet, from 2015 to mid-2019, FINRA arbitrators granted expungement requests over 80% of the time. The updated data from August 1, 2019 - October 31, 2020 (“Updated Data”) further supports that expungements are not being treated as an extraordinary remedy, showing that expungement requests were granted at least in part in 636 out of 700 awards, a rate of 90%.

| Year | Expungements Granted (%) |
|---------------------|--------------------------|
| 2015 | 93 |
| 2016 | 81 |
| 2017 | 81 |
| 2018 | 81 |
| Updated Data | 90 |

³ FINRA Regulatory Notice 12-42 (“It has been FINRA’s long-held position that expungement of customer dispute information is an extraordinary measure, but it may be appropriate in certain circumstances.”)

https://www.finra.org/sites/default/files/notice_doc_file_ref/Regulatory-Notice-17-42.pdf

Once these complaints are expunged, they disappear completely from the CRD system and BrokerCheck – making them no longer visible to investors.

II. The Number of Straight-In Expungements Has Skyrocketed Since January 1, 2015.

2. The number of straight-in expungements filed with FINRA continues to increase.

| Year | Cases filed |
|---------------------|-------------|
| 2015 | 59 |
| 2016 | 135 |
| 2017 | 339 |
| 2018 | 545 |
| Updated Data | 700 |

III. Multiple Customer Complaints Are Being Expunged Per Case.

3. Individual brokers frequently request that multiple customer complaints be expunged in a single expungement case. As a result, the 2019 Study showed that while the total number of straight-in expungement cases for the 2015-2018 period was 1,078, the number of customer complaints that the brokers asked be expungement was 2,194, which is an average of approximately two (2) customer complaints per case.

The updated data shows that the number of expungement requests per case continues to be high. Brokers requested that 1,360 customer complaints be expunged in the 700 awards, i.e., again approximately two (2) complaints per case.

4. The number of customer complaints that brokers requested be expunged from CRD increased significantly.

| Year | Number of customer complaints brokers requested be expunged |
|------|---|
| 2015 | 102 |
| 2016 | 300 |

| Year | Number of customer complaints brokers requested be expunged |
|---------------------|---|
| 2017 | 756 |
| 2018 | 1036 |
| Updated Data | 1360 |

In the Updated Data, one broker in a single expungement case asked for the erasure of twenty-nine (29) customer complaints from their CRD record.

IV. Expungement Requests are Rarely Opposed by Brokerage Firms or Customers

A. Expungement Requests Are Not Opposed by Respondent Brokerage Firms 98% Of The Time.

5. Brokerage firms very rarely oppose brokers' requests for expungement. The 2019 Study showed that of the 1,078 cases, the respondent brokerage firm did not object or otherwise oppose the individual broker's expungement request 1,055 times out of 1,078 – over 98% of the time. Brokerage firms objected to these expungement requests in only 21 of the 1,078 total requests. That is less than 2% of the time.

6. The 2021 Updated Study reflected similar results. In the seven hundred (700) awards issued between August 1, 2019 to October 31, 2020, the respondent brokerage firm did not object or otherwise oppose the individual broker's expungement request 684 times out of 700 awards – over 98% of the time. Brokerage firms objected to these expungement requests in only 16 of the 700 total requests. Again, that is approximately 2% of the time.

B. Customers Rarely Participate and Oppose Expungement Requests.

7. Customers are not named parties in straight-in expungement cases so they are not required to appear. The Foundation does not recommend that customers be named as parties to these cases. Customers should not be required to essentially relitigate cases they have settled or otherwise resolved. The 2019 Study found that of the 1,078 straight-in expungement cases, customers whose complaints are the

subject of expungement requests participated and objected to brokers' expungement requests only 141 times, 13% of the time.

8. The 2021 Updated Study found similar results. Of the 700 straight-in expungement cases, customers whose complaints are the subject of expungement requests participated and objected to brokers' expungement requests only 106 times, 15% of the time.

C. Panels of Three Arbitrators Will Not Reduce the High Rates of Expungements Being Granted.

9. Expungement rates show that expungement is not treated as extraordinary remedy and three arbitrators are no better than one.

| | |
|--|-----|
| 2019 Study | (%) |
| % of expungements granted in part (2018) | 87 |
| % of expungements granted- 3 Arbitrators | 88 |
| % of expungements granted- 1 Arbitrator | 87 |

| | |
|--|-----|
| Updated Data | (%) |
| % of expungements granted in part | 90 |
| % of expungements granted- 3 Arbitrators | 89 |
| % of expungements granted- 1 Arbitrator | 84 |

10. FINRA's proposed rule seeks to reduce the rate in which expungements are granted by requiring that the cases be heard by three arbitrators, instead of a single arbitrator. Our data shows that a panel of three arbitrators is just as likely to grant expungement as a single arbitrator. The systemic problem is that the expungement requests are treated by the parties and arbitrators as unopposed motions.

D. Arbitrators Are Significantly More Likely to Deny Expungement Requests When Someone Objects.

11. The 2019 Study found that, even though respondent brokerage firms opposed expungement less than 2% of the time, when brokerage firms opposed expungement, arbitrators denied the expungement request 48% of the time. In contrast, when brokerage firms did not object, arbitrators denied the expungement request only 11% of the time. Therefore, arbitrators are 4.36 times more likely to

deny expungement requests when a brokerage firm objects to the expungement request.

12. Even though customers opposed expungements only 13% of the time, when customers opposed expungement, arbitrators denied the requests 36% of the time. In contrast, when customers did not object, arbitrators denied the expungement request only 9% of the time. Arbitrators are four (4) times more likely to deny an expungement request when a customer objects.

13. The 2021 Update Study results show similar results. The updated data shows that arbitrators are 5.4 times more likely to deny expungement when the broker-dealer respondent opposes expungement and are 4.3 times more likely to deny expungement when customers oppose expungement.

14. This data supports the conclusion that the most effective way to reduce the rate in which arbitrators grant expungement is to present the arbitrators with evidence opposing the request.

E. Without an Opposing Party, There Are No Procedural Safeguards to Prevent Brokers and Brokerage Firms from Presenting One-Sided and/or False Information to Arbitrators.

15. Brokers and brokerage firms are the only parties to straight-in expungement cases, and both have an incentive to expunge customer complaints from brokers' CRD records. The customers whose complaints are the subject of the expungement request are not parties to the straight-in expungement arbitration and if they participate, their role is akin to a fact witness. They cannot conduct discovery, engage in motion practice, or have the other due process rights given a party to an arbitration.

16. Since brokerage firms do not oppose brokers' expungement requests 98% of the time and customers oppose expungement in only 13%-15% of cases, it logically follows that there should be procedural safeguards in place to prevent brokers from presenting one-sided, false or misleading information to arbitrators, who are ethically required to remain neutral in the pending arbitration.

17. FINRA puts the burden of ensuring that only valid expungement requests are granted on arbitrators. But imposing such a burden on arbitrators in unopposed straight-in expungement cases is wholly inconsistent with their role as neutral factfinders and decisionmakers.

18. In fact, FINRA’s arbitrator training materials prohibit arbitrators from conducting their own independent investigations into the validity of the underlying customer complaints. FINRA Dispute Resolution Arbitrator’s Guide states in pertinent part:

Questions by Arbitrators and Factual Investigations

Each case must be judged solely on the written and testimonial evidence presented at the hearing. Each arbitrator has a right to question witnesses. Even though it is proper for an arbitrator to ask questions, every effort should be made to avoid taking over a hearing or becoming an advocate. Parties and their attorneys should be permitted to try their own cases. Generally, arbitrators should refrain from questioning a witness until all parties have finished their examination.

Arbitrators should not make independent factual investigations of a case. When arbitrators are in doubt about an issue, legal or otherwise, they should request briefs from the parties. If cases are cited in a party’s motion or brief, and the arbitrators wish to read the full court opinions, the arbitrators should ask the parties to supply copies. Arbitrators generally should review only those materials presented by the parties.

See FINRA Arbitrator’s Guide at page 60 (emphasis added).

19. While FINRA’s expungement training materials encourage arbitrators to ask questions during the expungement hearing and request additional documents from the parties, this does not change the fact that arbitrators must remain neutral. As such, arbitrators cannot be the sole gatekeeper to protect the integrity of the CRD database and valid customer complaints from being erased.

F. Brokers and Firms Continue to Find New Ways to Game the Arbitration Process to Obtain Expungement Awards.

20. The example below is happening right now in a currently pending straight-in expungement case where the customer hired attorneys through the Foundation’s *pro bono* expungement program to oppose expungement. This example shows how brokerage firms and brokers engage in gamesmanship and why state regulators need early notice of expungements and the ability to participate directly or through the proposed Advocate. This example also illustrates how FINRA’s expungement process is not designed for investors to meaningfully

participate without an attorney and why the Foundation's *pro bono* expungement program provides valuable services.

Case Study

The Foundation's Expungement Project, through which attorneys represent customers opposing expungement on a *pro bono* basis, has discovered some of the new and innovative tactics that brokers and firms are using in violation of FINRA's directive that customers be permitted to appear and oppose a broker's request to oppose expungement.

For example, in a pending case, the customer filed a FINRA arbitration against the broker-dealer for unsuitable investment recommendations by the firm's broker. The arbitration settled late last year for an undisclosed amount. The customer believed that his dispute was over and dismissed the arbitration proceeding against the broker-dealer. In January 2021, the broker filed a straight-in expungement arbitration against the broker-dealer seeking to expunge the customer's complaint.

The customer retained a *pro bono* attorney through the Foundation Expungement Project to oppose the straight-in expungement arbitration. Now, the brokerage firm is objecting to the customer using documents the firm produced in the original arbitration that support denial of the expungement relief on the basis that those documents were designated as confidential and could only be used in the original arbitration. In an email exchange attached hereto, the attorney representing the brokerage firm made the following objection:

... [Firm] objects to you, your firm, or any other individual reviewing any confidential documents and information produced by [Firm] in Customer v. Firm. Given the confidential and proprietary nature of those documents, the parties in the [Customer] matter expressly agreed that the documents would be used solely in connection with prosecuting, defending, and settling that matter. Further dissemination of the documents would destroy or diminish the value of such information, causing [Firm] severe and irreparable harm. That concern is heightened by your vague reference below to sharing documents with your "firm [] and other counsel" for [Customer]. Moreover, those documents are irrelevant and beyond the scope of what is necessary to decide the pending expungement claim. The documents potentially responsive to the expungement claim—such as the Statement of Claim,

the Answer, the settlement agreement, and [Customer's] account documents—are within [Customer's] possession already.

Here, the brokerage firm attempts to prohibit the customer and his attorneys from using documents the firm produced in the prior case to oppose the expungement relief in the subsequently filed straight-in expungement arbitration. The brokerage firm is also improperly and unilaterally defining what documents and information are relevant to the expungement request.

Simply put, without an attorney, there is no way that customers can effectively represent themselves in these straight-in expungements. Resolving the discovery issue described above will require the filing a motion to compel before the arbitration panel or filing a declaratory judgment action in a court of law. This spurious discovery dispute will likely take hours to resolve and would have cost thousands of dollars in attorney's fees to resolve were the customer not represented on a *pro bono* basis. Customers cannot and should not be asked to bear that cost.

CONCLUSION

PIABA and the Foundation have conducted studies of FINRA's expungement awards for over a decade and the results are clear. Increasing the number of arbitrators per case and providing arbitrators with more training will not lower the incidence of granting expungement or get arbitrators to treat expungement as an "extraordinary remedy."

The data unquestionably leads to the conclusion that the most effective way to reduce the rate in which arbitrators grant expungement is to stop the practice of arbitrators deciding expungement based on a one-sided presentation of evidence. FINRA should provide a meaningful opportunity for parties with an interest in the outcome of the expungement request, such as state securities regulators and customers who lodged complaints at issue, to present evidence opposing the request, when appropriate.

The data shows that the current system of deciding expungement through straight-in expungement arbitrations requires the establishment of an Investor Advocate, who will be charged with helping to preserve the integrity of CRD data.

Expungement Requests in Industry-Initiated Arbitrations Issued 8/1/19-10/31/20

Sorted by Docket #
Prepared for: PIABA Foundation



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| Docket No. | Venue | Claim Filed | First Hearing Date | Award Issued | Names of Respondents | Respondents' Attorneys | Claimant Brokers | Claimants' Attorneys | Did Rs. Object | Did Cmr. Object | Results of | | Brokers Granted Expungement (in whole or in part) | Brokers Denied Expungement | Arbitrator Names | Hrg. Sess. |
|--------------------------|-------------------|-------------|--------------------|--------------|---|--|----------------------------|------------------------------------|----------------|-----------------|-----------------------|----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Results | | | | |
| 17-02146 | San Francisco, CA | 08/10/2017 | 07/30/2018 | 08/06/2019 | Customers only | Customer | Richard Anthony McCollam | Thomas Law Group PC | NO | NO | 1 | G | Richard Anthony McCollam | | Peter H. Daly - Chair; D. Peter Gleichenhaus; Frank R. Weaver, Jr., Esq. | 12 |
| 18-01550 | Denver, CO | 04/27/2018 | 11/16/2018 | 12/13/2019 | Geneos Wealth Management Incorporated | Kutak Rock LLP | Joseph Sylvester Sturniolo | AdvisorLaw; HLBS Law | NO | NO | 5 | G | Joseph Sylvester Sturniolo | | Donald Neil Tolin | 4 |
| 18-01739 | Los Angeles, CA | 05/03/2018 | 05/22/2019 | 09/27/2019 | Centaurus Financial Incorporated; Prudential Equity Group LLC; Voya Financial Advisors Incorporated | ISC (CF); Law Offices of Alan S. Brodherson (PEG); Winget Spadafora & Schwartzberg (VFA) | Timothy Neil Tremblay | The Law Offices of Tyson W. Kovash | NO | OB/NO | 21 | G/W | Timothy Neil Tremblay | | Robert E. Jenks | 1 |
| 18-01977 | Philadelphia, PA | 05/23/2018 | 06/10/2019 | 11/01/2019 | SA Stone Wealth Management Incorporated | ISC | Richard Michael Wesselt | AdvisorLaw LLC | NO | NO | 5 | G | Richard Michael Wesselt | | Louis P. Wagman | 3 |
| 18-02119 | Los Angeles, CA | 06/06/2018 | 11/14/2018 | 08/08/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | David Sanford James | HLBS Law | NO | OB/NO | 4 | G/D | David Sanford James | | Joseph C. Watson, Esq. | 3 |
| 18-02120 | Los Angeles, CA | 06/06/2018 | 06/18/2019 | 08/05/2019 | Morgan Stanley | ISC | Isidro Z. Miramontes | Law Offices of David Harrison | NO | NO | 1 | G | Isidro Z. Miramontes | | Robert D. Sussin, Esq. | 1 |
| 18-02144 | Los Angeles, CA | 06/08/2018 | 08/06/2019 | 08/15/2019 | Morgan Stanley & Company LLC | ISC | Isidro Z. Miramontes | Law Offices of David Harrison | NO | NO | 1 | G | Isidro Z. Miramontes | | Kirtley M. Thiesmeyer, Esq. | 1 |
| 18-02528 | Orlando, FL | 07/12/2018 | 10/24/2019 | 08/09/2019 | Morgan Stanley | ISC | Dale Grubb | Bressler Amery & Ross | NO | NO | 1 | G | Dale Grubb | | John B. Roe | 2 |
| 18-02715 | Louisville, KY | 07/31/2018 | 05/16/2019 | 08/07/2019 | Ameriprise Financial Services Incorporated | ISC | Scott Armstrong Brooks | FA Expungement LLC | NO | NO | 2 | G | Scott Armstrong Brooks | | Mark Alexander Sipper | 1 |
| 18-02745 | Los Angeles, CA | 08/02/2018 | 08/22/2019 | 09/11/2019 | Morgan Stanley & Company LLC | ISC | Isidro Z. Miramontes | Law Offices of David Harrison | NO | NO | 1 | G | Isidro Z. Miramontes | | Andrew M. Mintzer, CPA | 1 |
| 18-02773 | San Francisco, CA | 08/07/2018 | 03/04/2019 | 09/05/2019 | ePlanning Securities Incorporated | No-show | Scott Layne Hultsman | Markun Zusman & Compton | NO | NO/NN | 7 | G | Scott Layne Hultsman | | Michael Lancaster Garcia - Chair; Jonathan H. Krottinger, Esq.; James R. Dickson | 1 |
| 18-02782 | Los Angeles, CA | 08/07/2018 | 11/13/2019 | 11/25/2019 | Morgan Stanley & Company LLC; UBS Financial Services Incorporated; | ISC (MS); Keesal Young & Logan (UBS) | Isidro Z. Miramontes | Law Offices of David Harrison | NO | NO | 1 | G | Isidro Z. Miramontes | | George Herman Frisch | 1 |
| 18-02825 | New York, NY | 08/10/2018 | 10/28/2019 | 01/06/2020 | JP Morgan Securities LLC | ISC | Ling Yung Wu | Satterlee Stephens LLP | NO | NO | 1 | G | Ling Yung Wu | | Karimu F. Hill-Harvey, Esq. - Chair; Dan Brecher, Esq.; Norman Feit | 1 |
| 18-02837 | Orlando, FL | 08/13/2018 | 08/06/2019 | 09/04/2019 | Customers only | Customers | Robbie L. Kennerson | Holcomb & Ward | OB/NO | OB/NO | 4 | G/D | Robbie L. Kennerson | | Richard J. Fuller, CPA - Chair; William E. Schneider; Glenn W. Wheelock | 1 |

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|--------------------------|-----------------|-------------|--------------------|--------------|--|--|-----------------------------------|-------------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 18-03081 | Los Angeles, CA | 08/30/2018 | 08/15/2019 | 10/08/2019 | Morgan Stanley & Company Incorporated | ISC | Isidro Z. Miramontes | Law Offices of David Harrison | NO | NO | 1 | G | Isidro Z. Miramontes | | Anita Rae Shapiro, Esq. | 1 |
| 18-03100 | Cleveland, OH | 09/04/2018 | 08/08/2019 | 08/19/2019 | TIAA-CREF Individual & Institutional Services LLC | ISC | Louis B. Dissel | FA Expungement LLC | NO | NO | 2 | D | | Louis B. Dissel | Michael J. Meeusen, Esq. | 1 |
| 18-03117 | Cincinnati, OH | 09/04/2018 | 08/27/2019 | 10/21/2019 | UBS Financial Services Incorporated | Bressler Amery & Ross | John Spencer Bradley | O'Gara Law PLLC | NO | NN | 2 | G/D | John Spencer Bradley | | Julius Z. Frager | 1 |
| 18-03155 | Seattle, WA | 09/06/2018 | 09/27/2019 | 02/03/2020 | Pacific West Securities Incorporated | No-show | Erinn June Ford | Markun Zusman et al. | NO | OB | 1 | G | Erinn June Ford | | Charles Scott McClellan - Chair; Ian Stephen Birk; Frederick B. Mueller | 2 |
| 18-03207 | Los Angeles, CA | 09/12/2018 | 07/23/2019 | 08/14/2019 | Goldman Sachs & Company LLC | Cohen & Gresser | Drew Scott Freides | Kalberer LLP | NO | NO | 1 | G | Drew Scott Freides | | Morris S. Getzels, Esq. | 1 |
| 18-03328 | Chicago, IL | 09/21/2018 | 07/22/2019 | 08/05/2019 | Citigroup Global Markets Incorporated | Bressler Amery & Ross | Darren Allen Golde | Law Offices of Joshua B. Kons | NO | OB/NO | 3 | G | Darren Allen Golde | | Hon. Michael S. Jordan | 1 |
| 18-03422 | Los Angeles, CA | 09/28/2018 | 05/23/2019 | 08/05/2019 | United Planners' Financial Services of America | No-show | Brian Edward Parker | FA Expungement LLC | NO | NO | 1 | D | | Brian Edward Parker | Nancy G. Harris | 2 |
| 18-03572 | Boca Raton, FL | 10/12/2018 | 07/10/2019 | 08/05/2019 | Wells Fargo Clearing Services LLC | ISC | Robert J. Cannella | Baritz & Colman | NO | NN | 7 | G | Robert J. Cannella | | Robert G. Geeseman, Esq. | 1 |
| 18-03581 | Newark, NJ | 10/12/2018 | 07/09/2019 | 08/05/2019 | Customers only | Customer | Joseph J. Goscieski | Murphy & McGonigle | NO | NO | 1 | G | Joseph J. Goscieski | | Robert E. Anderson, Esq. - Chair; Fred S. Pieroni; Carl Mario Martorano | 1 |
| 18-03660 | Los Angeles, CA | 10/22/2018 | 09/24/2019 | 10/11/2019 | Morgan Stanley & Company LLC; UBS Financial Services Incorporated | Keesal Young & Logan | Isidro Z. Miramontes | Law Offices of David Harrison | NO | NO | 1 | G | Isidro Z. Miramontes | | Natalie Panossian-Bassler | 1 |
| 18-03766 | Raleigh, NC | 10/31/2018 | 07/09/2019 | 11/08/2019 | Janney Montgomery Scott LLC; UBS Financial Services Incorporated | ISC (JMS); Bressler Amery & Ross (UBS) | John R. Kline | FA Expungement LLC | NO | OB | 1 | G | John R. Kline | | Margaret Elizabeth Gee | 2 |
| 18-03772 | Newark, NJ | 10/31/2018 | 09/25/2019 | 10/04/2019 | Invest Financial Corporation | ISC | Peter Dizdar | Imbesi Law PC | NO | NO | 1 | G | Peter Dizdar | | Joseph H. Cerame, Esq. | 1 |
| 18-03819 | Los Angeles, CA | 11/12/2018 | 06/10/2019 | 08/07/2019 | Breck & Young Advisors Incorporated; Securities America Incorporated | No-show (B&YA); Freeman Mathis & Gary (SA) | Thomas J. Goodson | Markun Zusman et al. | NO | NO | 1 | G | Thomas J. Goodson | | Robert E. Jenks | 1 |
| 18-03840 | Seattle, WA | 11/05/2018 | 07/11/2019 | 08/09/2019 | UBS Financial Services Incorporated | ISC | Colin J. Hawkes; Stacy Ryan Oster | Keesal Young & Logan | NO | NO | 2 | G | Colin J. Hawkes; Stacy Ryan Oster | | Sterling N. Frost | 1 |
| 18-03915 | Los Angeles, CA | 11/27/2018 | 07/11/2019 | 08/13/2019 | Cetera Advisor Networks LLC | ISC | Stuart Shoji Tsujimoto | Ulmer & Berne | NO | NN | 1 | G | Stuart Shoji Tsujimoto | | Alan M. Rosen | 1 |
| 18-03995 | New York, NY | 11/20/2018 | 08/27/2019 | 10/04/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Craig Kinard; Guido Graff | Morgan Lewis & Bockius | NO | NO | 2 | G | Craig Kinard; Guido Graff | | Keely D. Parr, Esq. | 2 |
| 18-04037 | Denver, CO | 11/27/2018 | 07/24/2019 | 09/16/2019 | Cetera Advisors LLC; Pacific West Securities Incorporated | ISC (CA); No-show (PWS) | Erinn June Ford | Markun Zusman et al. | NO | NO | 1 | G | Erinn June Ford | | Donald Neil Tolin | 1 |

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|--------------------------|------------------|-------------|--------------------|--------------|--|--|------------------------|----------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 18-04054 | Boca Raton, FL | 11/28/2018 | 08/21/2019 | 09/06/2019 | IAA Financial LLC | ISC | Brian Joseph Lombardi | Sallah Astarita & Cox | NO | NO | 1 | G | Brian Joseph Lombardi | | Jason Allen Rosner | 1 |
| 18-04058 | Phoenix, AZ | 12/04/2018 | 08/14/2019 | 09/16/2019 | LPL Financial LLC | ISC | John Michael Cartolano | Tiffany & Bosco | NO | NO | 3 | G | John Michael Cartolano | | W. Michael Kelley, Esq. - Chair; Ernst Janensch; Marcia A. Herrmann | 1 |
| 18-04064 | Boca Raton, FL | 11/28/2018 | 08/20/2019 | 09/09/2019 | JP Morgan Securities LLC | Ulmer & Berne | Michael Varga | None | NO | NO | 1 | G | Michael Varga | | Nanci Sondra Landy | 1 |
| 18-04071 | Baltimore, MD | 11/30/2018 | 08/20/2019 | 09/13/2019 | Wells Fargo Advisors Financial Network | ISC | John Kirkland Moy | Crowe & Dunlevy | NO | NO | 3 | G | John Kirkland Moy | | David L. Ruderman, Esq. - Chair; Marian Smith Glenn; Joan M. Smith, CFP | 1 |
| 18-04072 | Baltimore, MD | 11/30/2018 | 03/20/2020 | 05/04/2020 | Wells Fargo Advisors Financial Network | ISC | John Kirkland Moy | Crowe & Dunlevy | NO | NO | 2 | G | John Kirkland Moy | | Jane Kwok Ping Tam - Chair; Edward J. Gutman; Joan H. Palmer | 1 |
| 18-04076 | Newark, NJ | 11/30/2018 | 07/10/2019 | 08/16/2019 | APW Capital Incorporated | ISC | Alan Louis Augulis | FA Expungement LLC | NO | NO | 1 | D | | Alan Louis Augulis | Denise L. Quarles, Esq. | 1 |
| 18-04120 | Dallas, TX | 12/04/2018 | 08/12/2019 | 09/30/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | Jeff Malcolm Davis | AdvisorLaw LLC | NO | OB/NO | 6 | G | Jeff Malcolm Davis | | David A. Schuler | 2 |
| 18-04124 | New York, NY | 12/05/2018 | 12/04/2019 | 12/19/2019 | American Capital Partners LLC; First Asset Management Incorporated; Milestone Financial Services Incorporated | ISC (ACP); No-show (FAM & MFS) | Edward Michael Cahill | Sichenzia Ross Ference LLP | NO | NO/NN | 3 | G | Edward Michael Cahill | | Robert E. Anderson, Esq. | 1 |
| 18-04132 | Detroit, MI | 12/06/2018 | 10/10/2019 | 11/04/2019 | LPL Financial LLC | ISC | Mark A. Law | The Mazzara Law Firm | NO | NN | 1 | G | Mark A. Law | | Stephen D. Kursman, Esq. | 1 |
| 18-04142 | Cleveland, OH | 12/06/2018 | 07/23/2019 | 08/05/2019 | Walnut Street Securities Incorporated; Cetera Advisor Networks LLC; Ameriprise Financial Services Incorporated | Reminger Co. LPA (WSS, CAN); ISC (AFS) | Daniel J. Lauletta | Ulmer & Berne | NO | NO | 2 | G | Daniel J. Lauletta | | Michael L. Fortney, Esq. | 1 |
| 18-04169 | Atlanta, GA | 12/10/2018 | 07/25/2019 | 08/02/2019 | Himco Distribution Services Company | ISC | Alfred Lee Dingler | FA Expungement LLC | NO | NO | 1 | G | Alfred Lee Dingler | | Harry G. Mason, JD | 1 |
| 18-04182 | New Orleans, LA | 12/10/2018 | 05/21/2019 | 08/19/2019 | UBS Financial Services Incorporated | Bressler Amery & Ross | Brian Neil Lawrence | Liskow & Lewis | NO | OB/NO | 3 | G/D | Brian Neil Lawrence | | Mark A. Myers, Esq. | 1 |
| 18-04185 | Denver, CO | 12/10/2018 | 08/13/2019 | 10/03/2019 | Pruco Securities LLC | Law Offices of Alan S. Brodherson | James Michael O'Leary | Jeffrey S. Greenhaus PA | NO | NO | 1 | G | James Michael O'Leary | | Charles G. Michaels, Esq. | 1 |
| 18-04284 | Cleveland, OH | 12/19/2018 | 09/16/2019 | 10/23/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Phillip David Irvin | HLBS Law | NO | NN | 1 | G | Phillip David Irvin | | Kevin R. Zehe | 1 |
| 18-04317 | Detroit, MI | 12/20/2018 | 11/04/2019 | 11/08/2019 | Sigma Financial Corporation | ISC | Tomas J. Velken | Saretsky Hart et al. | NO | UN | 3 | D | | Tomas J. Velken | Barry Goldman, Esq. | 1 |
| 18-04318 | Philadelphia, PA | 12/20/2018 | 07/12/2019 | 08/06/2019 | Pruco Securities LLC | Law Offices of Alan S. Brodherson | Mark Steven Kruman | AdvisorLaw LLC | NO | NO | 1 | G | Mark Steven Kruman | | John F. Burns, Esq. | 1 |

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|--------------------------|------------------|-------------|--------------------|--------------|--|---|---|----------------------|----------------|-----------------|---------------------|----------|---|---|------------------------------|------------------|------------|
| | | | | | | | | | | | Requests | Requests | | | | | |
| 18-04321 | Denver, CO | 12/20/2018 | 07/25/2019 | 08/13/2019 | American Portfolios Financial Services Incorporated | ISC | Eric Veve | HLBS Law | NO | OB | 1 | G | Eric Veve | | William F. Skewes, Esq. | 1 | |
| 18-04322 | San Diego, CA | 12/20/2018 | 10/01/2019 | 10/21/2019 | LPL Financial LLC | ISC | Sandeep Varma; Steven Joseph Musser | HLBS Law | NO | NO | 4 | G | Sandeep Varma; Steven Joseph Musser | | Mark R. Lee | 1 | |
| 18-04323 | Los Angeles, CA | 12/20/2018 | 10/31/2019 | 11/22/2019 | ePlanning Securities Incorporated | No-show | Iaian L. Filippini | Kelley Clarke PC | NO | OB | 2 | G/W | Iaian L. Filippini | | Anita Rae Shapiro, Esq. | 1 | |
| 18-04325 | Los Angeles, CA | 12/20/2018 | 08/23/2019 | 09/19/2019 | ePlanning Securities Incorporated | No-show | Alexandro Louis Filippini; Iaian L. Filippini | Keesal Young & Logan | NO | NO | 2 | G | Alexandro Louis Filippini; Iaian L. Filippini | | Erik R. Siering | 1 | |
| 18-04330 | Indianapolis, IN | 12/20/2018 | 08/08/2019 | 08/16/2019 | CFD Investments Incorporated | ISC | Roy Matthew Strong | AdvisorLaw LLC | OB | NN | 1 | D | | Roy Matthew Strong | Lynn Hirschfeld Brahin, Esq. | 1 | |
| 18-04335 | Milwaukee, WI | 12/20/2018 | 07/01/2019 | 08/08/2019 | Cetera Investment Services LLC; Fifth Third Securities Incorporated | ISC (CIS); No-show (FTS) | Mark Vernon Rottler | AdvisorLaw LLC | NO | NO | 1 | G | Mark Vernon Rottler | | Michael S. Matek, Esq. | 1 | |
| 18-04344 | Los Angeles, CA | 12/21/2018 | 10/23/2019 | 11/08/2019 | Independent Financial Group LLC; The Equitable Life Assurance Society of the United States | ISC (IFG); Gordon Rees et al. (TELASUS) | Cynthia Mary Couyoumjian | AdvisorLaw LLC | NO | UN | 2 | D | | Cynthia Mary Couyoumjian | Joyce L. Hurley | 1 | |
| 18-04349 | Newark, NJ | 12/21/2018 | 08/05/2019 | 08/14/2019 | American Portfolios Financial Services Incorporated | ISC | Anthony DeGregorio | AdvisorLaw LLC | NO | NO | 1 | G | Anthony DeGregorio | | Michael Fischetti, PhD | 1 | |
| 18-04350 | Philadelphia, PA | 12/21/2018 | 02/06/2020 | 03/19/2020 | Wells Fargo Clearing Services LLC | ISC | Mary Ellen Wagner | AdvisorLaw LLC | NO | NO/NN | 4 | G/D | Mary Ellen Wagner | | James W. (Jim) Geiger | 1 | |
| 18-04355 | New York, NY | 12/24/2018 | 08/27/2019 | 10/16/2019 | Itradedirect.com Corporation | ISC | Sean M. Case | None | NO | OB/NO | 2 | G/D | Sean M. Case | | Lynne M. Reid-McQueen, Esq. | 1 | |
| 18-04357 | New York, NY | 12/24/2018 | 11/07/2019 | 11/22/2019 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Jeffrey Frank Damasco | AdvisorLaw LLC | NO | OB/NO | 4 | G | Jeffrey Frank Damasco | | Howard D. Jacob, Esq. | 1 | |
| 18-04358 | Wilmington, DE | 12/24/2018 | 08/13/2019 | 09/11/2019 | LPL Financial LLC | ISC | Wayne David Wagner Jr. | AdvisorLaw LLC | NO | OB/NO | 2 | G | Wayne David Wagner Jr. | | Louis H. Miron, Esq. | 1 | |
| 18-04359 | Los Angeles, CA | 01/18/2019 | 08/07/2019 | 09/11/2019 | Purshe Kaplan Sterling Investments Incorporated | ISC | Matthew Allen Bradley | HLBS Law | NO | OB | 1 | G | Matthew Allen Bradley | | Constance Ellen Boukidis | 1 | |
| 18-04361 | Charlotte, NC | 12/21/2018 | 10/02/2019 | 11/15/2019 | NyLife Securities LLC | Morgan Lewis & Bockius | Donald Paul Robbins | AdvisorLaw LLC | NO | OB/NO | 3 | G/D/W | Donald Paul Robbins | | Michael J. Ahlstrom, Esq. | 1 | |
| 18-04362 | Los Angeles, CA | 12/21/2018 | 09/19/2019 | 02/11/2020 | First Allied Securities Incorporated; LPL Financial LLC | ISC | Cynthia Mary Couyoumjian | AdvisorLaw LLC | NO | NN | 8 | D | | Cynthia Mary Couyoumjian | Robert D. Sussin, Esq. | 2 | |
| 18-04367 | Seattle, WA | 12/21/2018 | 08/14/2019 | 08/29/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | Aaron Robert Olson | AdvisorLaw LLC | NO | NO | 2 | G | Aaron Robert Olson | | Philip Aaron Tymon, JD | 1 | |

| Docket No. | Venue | Claim Filed | First Hearing Date | Award Issued | Names of Respondents | Respondents' Attorneys | Claimant Brokers | Claimants' Attorneys | Did Rs. Object | Did Cmr. Object | Results of | | Brokers Granted Expungement (in whole or in part) | Brokers Denied Expungement | Arbitrator Names | Hrg. Sess. |
|--------------------------|-------------------|-------------|--------------------|--------------|---|-----------------------------------|---|----------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 18-04368 | Seattle, WA | 12/21/2018 | 07/23/2019 | 08/02/2019 | Morgan Stanley | ISC | Timothy Allen Thomas | AdvisorLaw LLC | NO | NO | 1 | G | Timothy Allen Thomas | | David William Hickman, JD | 1 |
| 18-04369 | Las Vegas, NV | 12/21/2018 | 10/14/2019 | 11/07/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | Robert Z. Disman | AdvisorLaw LLC | NO | NO | 1 | G | Robert Z. Disman | | Kirtley M. Thiesmeyer, Esq. | 1 |
| 18-04373 | New Orleans, LA | 12/24/2018 | 08/22/2019 | 09/05/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Amanda Moore Hinton | AdvisorLaw LLC | NO | OB | 1 | G | Amanda Moore Hinton | | Lynne M. Gomez, Esq. | 1 |
| 18-04375 | San Diego, CA | 12/25/2018 | 08/06/2019 | 08/28/2019 | WFP Securities | ISC | Kenneth A. Corlett | HLBS Law | NO | NO | 1 | G | Kenneth A. Corlett | | Mark R. Lee | 1 |
| 18-04376 | San Francisco, CA | 12/25/2018 | 09/10/2019 | 10/11/2019 | LPL Financial LLC | ISC | Mark Clifford Richmond | HLBS Law | NO | NN | 1 | G | Mark Clifford Richmond | | Michael Lancaster Garcia | 1 |
| 18-04377 | Denver, CO | 12/25/2018 | 08/07/2019 | 08/13/2019 | Ameriprise Financial Services Incorporated | ISC | John Edward Venable | HLBS Law | NO | OB | 1 | D | | John Edward Venable | Charles G Michaels, Esq. | 1 |
| 18-04379 | Los Angeles, CA | 12/25/2018 | 08/08/2019 | 08/26/2019 | ePlanning Securities Incorporated | No-show | Alexandro Louis Filippini; Iaian L. Filippini | HLBS Law | NO | NN | 2 | G | Alexandro Louis Filippini; Iaian L. Filippini | | Kirtley M. Thiesmeyer, Esq. | 1 |
| 18-04383 | Baltimore, MD | 12/26/2018 | 06/04/2019 | 09/12/2019 | Janney Montgomery Scott LLC | ISC | Todd E. Mitchell | Donovan & Rainie | NO | NO-D | 1 | G | Todd E. Mitchell | | Brenda J. Stovall, Esq. | 1 |
| 18-04386 | Tampa, FL | 12/26/2018 | 10/01/2019 | 10/21/2019 | Morgan Stanley | ISC | Kevin Clayton Cox | HLBS Law | NO | NO | 1 | G | Kevin Clayton Cox | | Karl A. Vogeler, III | 1 |
| 18-04387 | Pittsburgh, PA | 12/24/2018 | 08/01/2019 | 08/15/2019 | Morgan Stanley; Morgan Stanley DW Incorporated | ISC | Brian Scott Eagon | AdvisorLaw LLC | NO | NO | 3 | G/D | Brian Scott Eagon | | Richard W. Dissen, Esq. | 1 |
| 18-04389 | Dallas, TX | 12/26/2018 | 08/09/2019 | 09/16/2019 | Morgan Stanley | ISC | Jeff Malcolm Davis | AdvisorLaw LLC | NO | NO | 2 | G | Jeff Malcolm Davis | | Maxel B. (Bud) Silverberg, Esq. | 1 |
| 18-04390 | Pittsburgh, PA | 12/26/2018 | 07/22/2019 | 08/14/2019 | PNC Investments | Seyfarth Shaw LLP | Jeffrey Alan Nedley | AdvisorLaw LLC | NO | NO | 1 | G | Jeffrey Alan Nedley | | Robert E. Anderson, Esq. | 1 |
| 18-04391 | Cleveland, OH | 12/26/2018 | 11/04/2019 | 12/03/2019 | KeyBanc Capital Markets Incorporated | Uimer & Berne | Bryan Arthur Weber | HLBS Law | E, OB | NO/NN | 4 | G/D | Bryan Arthur Weber | | Susan L. Walker, Esq. | 1 |
| 18-04392 | Cleveland, OH | 02/07/2019 | 09/10/2019 | 09/26/2019 | Robert W. Baird & Company Incorporated | ISC | Bryan Arthur Weber | HLBS Law | NO | UN | 1 | D | | Bryan Arthur Weber | Barry Goldman, Esq. | 1 |
| 18-04407 | Syracuse, NY | 12/26/2018 | 08/20/2019 | 10/07/2019 | AG Edwards & Sons Incorporated | ISC | Clive Grady Buchan | AdvisorLaw LLC | NO | NO | 1 | G | Clive Grady Buchan | | Stuart M. Schwartz, Esq. | 1 |
| 18-04409 | Philadelphia, PA | 12/26/2018 | 07/22/2019 | 08/19/2019 | The Prudential Insurance Company of America | Law Offices of Alan S. Brodherson | Theodore Joseph Durante Jr. | AdvisorLaw LLC | NO | NO | 1 | G | Theodore Joseph Durante Jr. | | Diane Ciccone, Esq. | 1 |
| 18-04411 | Seattle, WA | 12/26/2018 | 08/26/2019 | 09/09/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | Kathleen M. Hobart | AdvisorLaw LLC | NO | OB | 1 | G | Kathleen M. Hobart | | Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) | 1 |
| 18-04416 | Detroit, MI | 12/26/2018 | 09/30/2019 | 10/29/2019 | Questar Capital Corporation | Faegre Baker Daniels LLP | Mark Gerard Kosanke | HLBS Law | NO | NO | 1 | G | Mark Gerard Kosanke | | Tracy L. Allen, Esq. | 1 |
| 18-04417 | Detroit, MI | 12/26/2018 | 09/09/2019 | 09/18/2019 | Professional Asset Management Incorporated | No-show | Mark Gerard Kosanke | HLBS Law | NO | NO | 1 | G | Mark Gerard Kosanke | | Tracy L. Allen, Esq. | 1 |
| 18-04418 | Chicago, IL | 12/26/2018 | 07/25/2019 | 10/03/2019 | The Equitable Life Assurance Society of the United States | ISC | Marc Jacob Jacobson | AdvisorLaw LLC | NO | NO | 1 | G | Marc Jacob Jacobson | | Lynn Hirschfeld Brahlin, Esq. | 2 |

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|--------------------------|---------------|-------------|--------------------|--------------|--|--|---------------------------|-----------------------|----------------|-----------------|------------------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | No. of Expunge-ment Requests | Expunge-ment Requests | | | | |
| 18-04419 | Chicago, IL | 12/26/2018 | 09/10/2019 | 10/04/2019 | AXA Advisors LLC; Pruco Securities LLC | ISC (AXA); Law Offices of Alan S. Broderson (PS) | Marc Jacob Jacobson | AdvisorLaw LLC | NO | NO/NN | 7 | G/D | Marc Jacob Jacobson | | Kenneth N. Adamson, Esq. | 1 |
| 18-04425 | Newark, NJ | 12/26/2018 | 06/18/2019 | 08/01/2019 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Kenneth William Levene | AdvisorLaw LLC | NO | NO/NN | 3 | G | Kenneth William Levene | | Catherine Stewart, Esq. | 1 |
| 18-04431 | Richmond, VA | 12/26/2018 | 08/27/2019 | 09/30/2019 | SunTrust Investment Services Incorporated | Gray Robinson PA | Jaret Clinton Mutter | AdvisorLaw LLC | NO | NO/NN | 4 | G/D | Jaret Clinton Mutter | | Edward Blumstein, Esq. | 1 |
| 18-04432 | Charlotte, NC | 12/26/2018 | 07/24/2019 | 08/08/2019 | AXA Advisors LLC | ISC | Christopher Thomas Miller | AdvisorLaw LLC | NO | NO | 2 | G | Christopher Thomas Miller | | Michael J. Ahlstrom, Esq. | 1 |
| 18-04433 | Portland, OR | 12/28/2018 | 08/06/2019 | 09/03/2019 | CUSO Financial Services Limited Partnership | ISC | Richard Brandon Hall | AdvisorLaw LLC | NO | NO | 1 | G | Richard Brandon Hall | | William W. Haskell, Esq. | 1 |
| 18-04434 | Chicago, IL | 12/28/2018 | 05/14/2019 | 08/16/2019 | Robert W Baird & Company Incorporated; Sigma Financial Corporation; Ameriprise Financial Services Incorporated | ISC | Chad Henry | Holcomb & Ward | NO | OB/NO | 4 | G | Chad Henry | | Steven H. Vogel, Esq. | 3 |
| 18-04436 | Chicago, IL | 12/27/2018 | 08/01/2019 | 08/16/2019 | Goldman Sachs & Company LLC | Cohen & Gresser | Stuart Drummond Buck | AdvisorLaw LLC | NO | NO | 1 | G | Stuart Drummond Buck | | Philip J. Glick, Esq. | 1 |
| 18-04438 | Chicago, IL | 12/27/2018 | 08/27/2019 | 09/05/2019 | Goldman Sachs & Company LLC | Cohen & Gresser | David Rocco Yaccino | AdvisorLaw LLC | NO | UN | 1 | D | | David Rocco Yaccino | Walter Patrick Giblin | 1 |
| 18-04443 | Orlando, FL | 12/27/2018 | 10/18/2019 | 12/03/2019 | Banc of America Investment Services Incorporated; Wells Fargo Advisors LLC | Bressler Amery & Ross (BAIS); ISC (WFA) | Marcos Cigagna | Sallah Astarita & Cox | NO | NO | 2 | G | Marcos Cigagna | | Thomas Joseph Atkinson, Sr., JD | 1 |
| 18-04446 | Atlanta, GA | 12/27/2018 | 08/15/2019 | 08/28/2019 | Questar Capital Corporation | Faegre Baker Daniels LLP | Kent Alan Balch | AdvisorLaw LLC | NO | NO | 1 | G | Kent Alan Balch | | Michael J. Ahlstrom, Esq. | 1 |
| 18-04449 | New York, NY | 12/28/2018 | 10/03/2019 | 12/23/2019 | Sanford C. Bernstein & Company LLC | Milbank LLP | Marcus Foster Kline | AdvisorLaw LLC | NO | NO | 1 | G | Marcus Foster Kline | | Ted M. Rosen, Esq. | 1 |
| 19-00002 | Newark, NJ | 12/30/2018 | 07/23/2019 | 08/15/2019 | National Securities Corporation | ISC | Richard Jae Libretti | FA Expungement LLC | NO | NO | 1 | G | Richard Jae Libretti | | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|---|--|---|----------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|------------------------------|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-00003 | New York, NY | 01/29/2019 | 11/14/2019 | 08/18/2020 | Spartan Capital Securities LLC; Laidlaw & Company (UK) Limited; Prestige Financial Center Incorporated; EKN Financial Services Incorporated; Empire Financial Group Incorporated; AR Baron & Company Incorporated; Tasin & Company Incorporated | ISC (L&C); No-show (PFC, EKNFS, EFG, ARB&C, T&C) | Kerry Patrick Raheb | Giordano Halleran & Ciesla | OB/NO | NN | 7 | G/D | Kerry Patrick Raheb | | Noel B. Berman, Esq. | 3 |
| 19-00011 | San Francisco, CA | 12/31/2018 | 07/11/2019 | 10/10/2019 | Securities America Incorporated | Freeman Mathis & Gary | Garret Ray Morgan | RMO LP | NO | NO | 4 | G | Garret Ray Morgan | | Mary Margaret Bush, Esq. | 2 |
| 19-00014 | San Diego, CA | 12/31/2018 | 08/19/2019 | 09/12/2019 | Caplink Securities Incorporated | ISC | Derek Clifford Myron | HLBS Law | NO | UN | 2 | D | | Derek Clifford Myron | Herbert Liberman | 1 |
| 19-00015 | Los Angeles, CA | 12/31/2018 | 09/30/2019 | 10/08/2019 | Citigroup Global Markets Incorporated; Morgan Stanley & Company LLC | Kauff Laton Miller LLP (CGM); ISC (MS) | Lisa Ann Detanna | RMO LLP | NO | NO | 3 | G/W | Lisa Ann Detanna | | Robert D. Sussin, Esq. | 1 |
| 19-00019 | Boca Raton, FL | 12/28/2018 | 09/03/2019 | 09/10/2019 | Wells Fargo Clearing Services LLC | ISC | Francesco Traina | HLBS Law | NO | NO/NN | 3 | G | Francesco Traina | | Carl Shechter, Esq. | 1 |
| 19-00020 | Boca Raton, FL | 12/28/2018 | 10/28/2019 | 11/05/2019 | UBS Financial Services Incorporated | Bressler Amery & Ross | Don Anthony D'Adesky | HLBS Law | NO | NO | 1 | G | Don Anthony D'Adesky | | Will Murphy, Esq. | 1 |
| 19-00023 | Milwaukee, WI | 12/28/2018 | 07/31/2019 | 08/27/2019 | Ameriprise Financial Services Incorporated | ISC | Edward Carlton Fox III | AdvisorLaw LLC | NO | NO | 1 | G | Edward Carlton Fox III | | Susanne J. Hollander, Esq. | 2 |
| 19-00029 | Omaha, NE | 01/02/2019 | 09/26/2019 | 10/25/2019 | UBS Financial Services Incorporated | ISC | Jonathan Verne Beukelman; Mark B. Geist | Keesal Young & Logan | NO | NO | 4 | G | Jonathan Verne Beukelman; Mark B. Geist | | Lynn Hirschfeld Brahin, Esq. | 2 |
| 19-00035 | Boca Raton, FL | 12/28/2018 | 10/16/2019 | 10/24/2019 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Francesco Traina | HLBS Law | NO | NO-D | 1 | G | Francesco Traina | | Mark C. Perry, Esq. | 1 |
| 19-00047 | San Francisco, CA | 01/02/2019 | 08/15/2019 | 08/29/2019 | LPL Financial LLC | ISC | Mark Randall Wilburn | HLBS Law | NO | NO | 1 | G | Mark Randall Wilburn | | Laurel Littman Gothelf, MPH | 1 |
| 19-00048 | Portland, OR | 01/02/2019 | 08/13/2019 | 09/16/2019 | American Independent Securities Group LLC | Gordon & Rees et al. | Thomas Wayne Davis Jr. | AdvisorLaw LLC | NO | OB | 1 | G | Thomas Wayne Davis Jr. | | Daniel B. MacLeod, Esq. | 1 |
| 19-00056 | Charlotte, NC | 01/03/2019 | 07/16/2019 | 08/09/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Andrew Alan Harding | AdvisorLaw LLC | NO | NO | 3 | G | Andrew Alan Harding | | Michael J. Ahlstrom, Esq. | 1 |
| 19-00062 | Charlotte, NC | 01/03/2019 | 09/12/2019 | 10/28/2019 | UBS Financial Services Incorporated | Bressler Amery & Ross | Alan Earl Brookshire | AdvisorLaw LLC | NO | NO | 5 | G | Alan Earl Brookshire | | Harvey R. Linder, Esq. | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|---|--------------------------|-----------------------|----------------|-----------------|-----------------|---------------|---|----------------------------|--|------------|
| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 19-00063 | Tampa, FL | 01/03/2019 | 07/09/2019 | 09/24/2019 | Locust Street Securities Incorporated | Winget Spadafora & Schwartzberg | Nancy Ellen Biddle | HLBS Law | NO | NO | 1 | G | Nancy Ellen Biddle | | Darryl C. Wilson, Esq. | 2 |
| 19-00079 | New York, NY | 01/04/2019 | 06/18/2019 | 08/08/2019 | UBS Financial Services Incorporated; Citigroup Global Markets Incorporated | ISC (UBS); Kauff Laton Miller LLP (CGM) | Robert Joseph Conzo | Bressler Amery & Ross | NO | NO | 2 | G | Robert Joseph Conzo | | Sandra Gale Behrle, Esq. | 1 |
| 19-00084 | San Francisco, CA | 01/06/2019 | 08/22/2019 | 09/18/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Nicholas V. Economos | FA Expungement LLC | NO | NO | 1 | G | Nicholas V. Economos | | Kenneth Paul Strongman | 1 |
| 19-00086 | Indianapolis, IN | 01/07/2019 | 07/31/2019 | 08/29/2019 | Citigroup Global Markets Incorporated | Bressler Amery & Ross | Gordon Leonard Bryan | AdvisorLaw LLC | NO | NO | 1 | G | Gordon Leonard Bryan | | Tracy L. Allen, Esq. | 1 |
| 19-00091 | Minneapolis, MN | 01/04/2019 | 07/30/2019 | 08/06/2019 | Ameriprise Financial Services Incorporated | ISC | Timothy Robert Jirak | AdvisorLaw LLC | NO | NN | 1 | G | Timothy Robert Jirak | | Barry Goldman, Esq. | 1 |
| 19-00094 | Houston, TX | 01/06/2019 | 07/30/2019 | 08/19/2019 | Sagepoint Financial Incorporated | ISC | Tina Tyann Matthews | FA Expungement LLC | NO | NO | 1 | D | | Tina Tyann Matthews | James A. Parker | 1 |
| 19-00096 | Boca Raton, FL | 01/04/2019 | 03/02/2020 | 03/19/2020 | CIBC World Markets Corporation | ISC | William Earl Elmore, Jr. | HLBS Law | NO | NO | 2 | G | William Earl Elmore, Jr. | | Seth L. Finkel, Esq. | 1 |
| 19-00104 | Philadelphia, PA | 01/07/2019 | 09/09/2019 | 10/16/2019 | MML Investors Services LLC | Stevens & Lee | John Michael Novak | AdvisorLaw LLC | NO | NO | 1 | G | John Michael Novak | | Thomas Benjamin Salzer, Esq. | 1 |
| 19-00107 | New Orleans, LA | 01/07/2019 | 08/14/2019 | 09/27/2019 | Transamerica Financial Advisors Incorporated | ISC | Gilberto Briseno | AdvisorLaw LLC | NO | NO | 1 | G | Gilberto Briseno | | Mark C. Watler, JD | 1 |
| 19-00108 | Bismarck, ND | 01/07/2019 | 07/30/2019 | 08/09/2019 | LPL Financial LLC | ISC | Gary Lawrence Wageman | AdvisorLaw LLC | NO | NO | 2 | G | Gary Lawrence Wageman | | Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) | 1 |
| 19-00117 | Manchester, NH | 01/09/2019 | 07/18/2019 | 09/23/2019 | Pruco Securities LLC | Law Offices of Alan S. Brodherson | Craig Evan Moore | AdvisorLaw LLC | NO | NO | 1 | G | Craig Evan Moore | | Samuel Harrison Chorches, Esq. | 1 |
| 19-00125 | Omaha, NE | 01/09/2019 | 09/03/2019 | 09/09/2019 | National Planning Corporation | ISC | Brian D. Luther | Cline Williams et al. | NO | NO | 1 | G | Brian D. Luther | | Charles G. Michaels, Esq. - Chair; Thomas F. Mahoney, Esq.; Bryan L. Johnson | 1 |
| 19-00126 | Oklahoma City, OK | 01/09/2019 | 07/16/2019 | 01/03/2020 | AXA Advisors LLC | ISC | Jerry Dale Kiefer | AdvisorLaw LLC | NO | NO | 2 | G/D | Jerry Dale Kiefer | | Lawrence R. Maxwell, Jr., Esq. | 2 |
| 19-00129 | Newark, NJ | 01/09/2019 | 08/01/2019 | 09/13/2019 | William Scott & Company LLC | Semper Flight LLC | Joseph Scott Glodek | FA Expungement LLC | NO | NO | 2 | D | | Joseph Scott Glodek | Jay Alan Kranis | 1 |
| 19-00130 | Newark, NJ | 01/09/2019 | 08/08/2019 | 11/13/2019 | William Scott & Company LLC; National Securities Corporation | ISC | Joseph Scott Glodek | FA Expungement LLC | NO | UN | 3 | G | Joseph Scott Glodek | | Veronica Ann Williams | 1 |
| 19-00142 | San Francisco, CA | 01/09/2019 | 08/06/2019 | 08/15/2019 | Edward D Jones & Company Limited Partnership | ISC | Sima Alefi | Gonser Law PC | NO | NO | 1 | G | Sima Alefi | | Sterling N. Frost | 1 |
| 19-00146 | Chicago, IL | 01/10/2019 | 09/04/2019 | 09/09/2019 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Michael Kevin Rhodes | HLBS Law | NO | NO | 1 | G | Michael Kevin Rhodes | | Lynn Hirschfeld Brahni, Esq. | 1 |
| 19-00148 | Boca Raton, FL | 01/09/2019 | 10/02/2019 | 10/14/2019 | Oppenheimer & Company Incorporated | ISC | William Earl Elmore Jr. | HLBS Law | NO | NO | 1 | G | William Earl Elmore Jr. | | Edward R. Niederriter, Esq. | 1 |

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|------------|-------------------|-------------|--------------------|--------------|--|----------------------------------|--------------------------|-------------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--------------------------------|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-00152 | Albany, NY | 01/10/2019 | 07/24/2019 | 08/26/2019 | Wells Fargo Advisors Financial Network | ISC | David Patrick Keator | Law Office of Peter F. Flynn | NO | OB | 1 | G | David Patrick Keator | | Martin A. Edelstein, Esq. | 1 |
| 19-00153 | Los Angeles, CA | 01/10/2019 | 01/29/2020 | 02/06/2020 | Deutsche Bank Securities Incorporated | Paduano & Weintraub | Michael John Tusing | HLBS Law | NO | NO | 1 | G | Michael John Tusing | | Mary M. O'Neil | 1 |
| 19-00158 | New Orleans, LA | 01/10/2019 | 09/18/2019 | 10/15/2019 | Edward D Jones & Company Limited Partnership | Kuchler Polk Weiner LLC | Aaron Michael Ogea | AdvisorLaw LLC | NO | OB | 3 | D | | Aaron Michael Ogea | Mark C. Watler, JD | 1 |
| 19-00160 | Boca Raton, FL | 01/10/2019 | 08/27/2019 | 09/11/2019 | Ameriprise Financial Services Incorporated | Murphy & Anderson | Riad Shanaway | HLBS Law | NO | NO | 1 | D | | Riad Shanaway | Elena G. Rodriguez | 1 |
| 19-00163 | Los Angeles, CA | 01/11/2019 | 10/03/2019 | 10/17/2019 | Morgan Stanley & Company LLC | ISC | Isidro Z. Miramontes | Law Offices of David Harrison | NO | NO | 1 | G | Isidro Z. Miramontes | | Elliott David Finkel, Esq. | 1 |
| 19-00164 | Los Angeles, CA | 01/11/2019 | 08/27/2019 | 09/10/2019 | Cuso Financial Services Limited Partnership | ISC | Timothy Steele Werdel | Wolper Law Firm PA | NO | NO | 1 | G | Timothy Steele Werdel | | Neil S. Jasper | 1 |
| 19-00169 | New York, NY | 01/11/2019 | 12/10/2019 | 01/08/2020 | Edward D Jones & Company Limited Partnership | ISC | James D. Zahakos | HLBS Law | NO | NO | 1 | G | James D. Zahakos | | Sandra J. Mullings, Esq. | 1 |
| 19-00170 | Charlotte, NC | 01/11/2019 | 09/04/2019 | 10/17/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Alan Earl Brookshire | AdvisorLaw LLC | NO | OB | 2 | G | Alan Earl Brookshire | | Jason Alexander Diamond | 1 |
| 19-00173 | Detroit, MI | 01/14/2019 | 12/18/2019 | 01/02/2020 | Dominion Investor Services Incorporated | Saretsky Hart et al. | Kathy Lynne Colby | J H. Spiegel PLLC | NO | NO | 1 | G | Kathy Lynne Colby | | Jeffrey Mark Bauer, Esq. | 1 |
| 19-00181 | Boca Raton, FL | 01/14/2019 | 08/20/2019 | 08/29/2019 | RBC Capital Markets LLC | ISC | Gary Robert Burwick | Wolper Law Firm PA | NO | NO | 1 | G | Gary Robert Burwick | | Mark Allen Bilawsky | 1 |
| 19-00205 | Cleveland, OH | 01/16/2019 | 09/12/2019 | 10/02/2019 | Commonwealth Financial Network | No-show | Matthew William Campbell | FA Expungement LLC | NO | OB | 1 | G | Matthew William Campbell | | Gerald W. Hepp | 1 |
| 19-00215 | San Francisco, CA | 01/16/2019 | 09/25/2019 | 11/05/2019 | Commonwealth Financial Network | ISC | Kenneth Ancell | HLBS Law | NO | NO/NN | 2 | G | Kenneth Ancell | | Mary Margaret Bush, Esq. | 1 |
| 19-00216 | San Francisco, CA | 01/16/2019 | 09/18/2019 | 09/30/2019 | NyLife Securities LLC | Morgan Lewis & Bockius | Clayton Kwok Shum | HLBS Law | NO | NO | 1 | G | Clayton Kwok Shum | | Laurel Littman Gothelf, MPH | 1 |
| 19-00217 | San Francisco, CA | 01/16/2019 | 08/08/2019 | 04/28/2020 | First Midwest Securities Incorporated | No-show | Clayton Kwok Shum | HLBS Law | NO | NN | 1 | D | | Clayton Kwok Shum | Michael Lancaster Garcia | 4 |
| 19-00256 | Des Moines, IA | 01/22/2019 | 08/15/2019 | 08/23/2019 | Raymond James Financial Services Incorporated | ISC | Chad David Andrews | FA Expungement LLC | NO | UN | 1 | D | | Chad David Andrews | Barry Goldman, Esq. | 1 |
| 19-00272 | New Orleans, LA | 01/22/2019 | 09/03/2019 | 10/03/2019 | Morgan Stanley | ISC | Lee Siegal Henderson | FA Expungement LLC | NO | NO | 1 | G | Lee Siegal Henderson | | Simeon B. Reimonenq, Jr., Esq. | 1 |
| 19-00286 | Denver, CO | 01/23/2019 | 08/26/2019 | 09/18/2019 | Prudential Equity Group LLC | Law Offices of Alan S. Broderson | Robert Alan Schwarz | HLBS Law | NO | NO | 1 | G | Robert Alan Schwarz | | Charles G. Michaels, Esq. | 1 |
| 19-00288 | Orlando, FL | 01/24/2019 | 09/03/2019 | 10/11/2019 | Morgan Stanley DW Incorporated | ISC | Donald Anthony Wojnowski | HLBS Law | NO | NO/NN | 3 | G | Donald Anthony Wojnowski | | Stuart K. Furman | 1 |

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| | | | | | | | | | | | No. of Expunge-ment Requests | Expunge-ment Results | | | | |
| 19-00289 | Detroit, MI | 01/24/2019 | 10/02/2019 | 10/28/2019 | Oppenheimer & Company Incorporated; UBS Financial Services Incorporated | ISS (O&C); Keesal Young & Logan (UBS) | Brian Joseph Rener | Gordon Rees et al. | OB/NO | UN | 3 | G/D | Brian Joseph Rener | | Jeffrey Mark Bauer, Esq. | 1 |
| 19-00293 | San Diego, CA | 01/24/2019 | 10/01/2019 | 10/22/2019 | Wells Fargo Investments LLC | ISC | Stephen Mark Seewer | HLBS Law | NO | NO/NN | 1 | G | Stephen Mark Seewer | | Kevin K. Forrester, Esq. | 1 |
| 19-00294 | Dallas, TX | 01/24/2019 | 09/18/2019 | 10/08/2019 | Banc of America Investment Services Incorporated | Bressler Amery & Ross | Charles Donald Smith Jr. | AdvisorLaw LLC | NO | NO | 1 | G | Charles Donald Smith Jr. | | Andrea U. Calve, Esq. | 1 |
| 19-00296 | Oklahoma City, OK | 01/24/2019 | 09/25/2019 | 10/07/2019 | LPL Financial LLC | ISC | Charles Donald Smith Jr. | AdvisorLaw LLC | NO | NO | 1 | G | Charles Donald Smith Jr. | | C. Sumpter Logan | 1 |
| 19-00300 | New York, NY | 01/24/2019 | 09/10/2019 | 10/29/2019 | National Securities Corporation; First Montauk Securities Corporation | ISC | James J. Mariani | FA Expungement LLC | NO | NO | 3 | G | James J. Mariani | | Arthur M. Handler, Esq. | 1 |
| 19-00318 | Dallas, TX | 01/28/2019 | 08/06/2019 | 09/03/2019 | MML Investors Services LLC | Stevens & Lee | Wesley Jay Cumbie | Wolper Law Firm PA | NO | NN | 1 | G | Wesley Jay Cumbie | | Maxel B. (Bud) Silverberg | 1 |
| 19-00319 | Omaha, NE | 01/28/2019 | 08/16/2019 | 08/26/2019 | Waddell & Reed Incorporated | Bryan Cave et al. | Kevin J. Engbers | Wolper Law Firm PA | NO | NO | 1 | G | Kevin J. Engbers | | Susan L. Walker, Esq. | 1 |
| 19-00320 | Dallas, TX | 01/28/2019 | 09/19/2019 | 11/15/2019 | LPL Financial LLC | ISC | Robert W. Huntley | Wolper Law Firm PA | NO | NO | 1 | G | Robert W. Huntley | | C. Sumpter Logan | 2 |
| 19-00321 | Detroit, MI | 01/28/2019 | 11/19/2019 | 12/09/2019 | LPL Financial LLC | ISC | Scott Alan Kanai | Wolper Law Firm PA | NO | NO | 1 | G | Scott Alan Kanai | | Tracy L. Allen, Esq. | 1 |
| 19-00324 | Boca Raton, FL | 01/25/2019 | 09/26/2019 | 10/02/2019 | Lincoln Financial Securities Corporation; LPL Financial LLC | ISC | Christopher G. Nichols | Wolper Law Firm PA | NO | OB/NO | 2 | G | Christopher G. Nichols | | Carl Shechter, Esq. | 1 |
| 19-00342 | Dallas, TX | 01/29/2019 | 08/07/2019 | 08/19/2019 | LPL Financial LLC | ISC | Lee Byron Thomson | AdvisorLaw LLC | NO | NO | 1 | G | Lee Byron Thomson | | Patricia Beaujean Lehtola, Esq. | 1 |
| 19-00345 | Raleigh, NC | 01/29/2019 | 09/03/2019 | 09/18/2019 | Kestra Investment Services LLC; Transamerica Financial Advisors Incorporated | D'Amura & Zaidman (KIS); ISC (TFA) | Stephanie Devan Abee | HLBS Law | NO | OB | 2 | G | Stephanie Devan Abee | | Kenneth R. Starr, Esq. | 1 |
| 19-00353 | New York, NY | 01/30/2019 | 10/17/2019 | 11/13/2019 | UBS Financial Services Incorporated | ISC | Peter J. Klein | Bressler Amery & Ross | NO | NO | 3 | G | Peter J. Klein | | Richard W. Cutler, Esq. - Chair; Howard D. Jacob, Esq.; Emily M. Altman | 1 |
| 19-00355 | New York, NY | 01/30/2019 | 12/11/2019 | 12/13/2019 | MBSC Securities Corporation | Saiber LLC | Michael John Fornasier | None | E | UN | 1 | D | | Michael John Fornasier | Anna Lascar - Chair; James G. Paulsen; Timothy P. Kebbe Esq. | 1 |
| 19-00378 | San Juan, PR | 01/31/2019 | 09/10/2019 | 09/24/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | David L. Rojas | Toro Colon Mullet PSC | NO | NO | 1 | G | David L. Rojas | | Elena G. Rodriguez | 1 |
| 19-00381 | San Diego, CA | 02/01/2019 | 08/21/2019 | 09/06/2019 | Fidelity Brokerage Services LLC | ISC | Jeff Jacob Menning | HLBS Law | NO | UN | 1 | D | | Jeff Jacob Menning | Herbert Liberman | 1 |
| 19-00384 | San Juan, PR | 02/01/2019 | 08/06/2019 | 08/15/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | David L. Rojas | Toro Colon et al. | NO | NO | 1 | G | David L. Rojas | | Barth Satuloff, CPA | 1 |

| Docket No. | Venue | Claim Filed | First Hearing Date | Award Issued | Names of Respondents | Respondents' Attorneys | Claimant Brokers | Claimants' Attorneys | Did Rs. Object | Did Cmr. Object | Results of | | Brokers Granted Expungement (in whole or in part) | Brokers Denied Expungement | Arbitrator Names | Hrg. Sess. |
|--------------------------|------------------|-------------|--------------------|--------------|--|--------------------------|--|---------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-00386 | Philadelphia, PA | 02/01/2019 | 09/09/2019 | 09/10/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Carl G. Gordinier | AdvisorLaw LLC | NO | NO | 1 | G | Carl G. Gordinier | | Steven T. Stern, Esq. | 1 |
| 19-00390 | Denver, CO | 02/01/2019 | 08/27/2019 | 08/29/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Ron Allen Zimmermann | HLBS Law | NO | NO | 1 | G | Ron Allen Zimmermann | | Susan M. Thevenet, Esq. | 1 |
| 19-00402 | Manchester, NH | 02/05/2019 | 09/23/2019 | 10/22/2019 | Questar Capital Corporation | Faegre Baker Daniels LLP | Benjamin C. Brayshaw | AdvisorLaw LLC | NO | NO | 1 | G | Benjamin C. Brayshaw | | Linda J. Baer, Esq. | 1 |
| 19-00411 | San Diego, CA | 02/06/2019 | 10/10/2019 | 11/14/2019 | Morgan Stanley DW Incorporated | ISC | Robert Eric Rose | HLBS Law | NO | NO | 1 | G | Robert Eric Rose | | Mark R. Lee | 1 |
| 19-00412 | San Diego, CA | 02/05/2019 | 10/07/2019 | 10/23/2019 | Morgan Stanley & Company LLC | ISC | Robert Eric Rose | HLBS Law | NO | NO/NN | 3 | G | Robert Eric Rose | | Michael E. Rohde, Esq. | 1 |
| 19-00413 | San Diego, CA | 02/05/2019 | 09/06/2019 | 10/04/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Robert Eric Rose | HLBS Law | NO | NO | 1 | G | Robert Eric Rose | | Herbert Liberman | 1 |
| 19-00423 | Orlando, FL | 02/07/2019 | 11/01/2019 | 11/22/2019 | Raymond James & Associates Incorporated | ISC | Keith A. Davis | Bruce W. Barnes PA | NO | NO | 1 | G | Keith A. Davis | | John P. Cullem, Esq. - Chair; Lewis Gordon Brewer; Howard A. Baker, Esq. | 1 |
| 19-00445 | Boca Raton, FL | 02/08/2019 | 01/27/2020 | 02/11/2020 | Wells Fargo Clearing Services LLC | ISC | Matthew Aaron Gerst | Stein & Stein | NO | OB | 1 | G | Matthew Aaron Gerst | | Will Murphy, Esq. - Chair; Robert G. Falbisaner; Scott Louis Fishman | 1 |
| 19-00446 | Wilmington, DE | 02/08/2019 | 06/17/2020 | 06/26/2020 | Private Consulting Group Incorporated | No-show | Alan Charles Gottlob | The Gilmore Firm LLC | NO | NN | 1 | D | | Alan Charles Gottlob | Gordon M. Wase, Esq. - Chair; Robert E. Anderson, Esq.; Alan J. Blocher | 1 |
| 19-00448 | New York, NY | 02/08/2019 | 12/17/2019 | 12/26/2019 | Continental Broker-Dealer Corporation | ISC | Joon Han Rhee | Carmel Milazzo & DiChiara | NO | NO | 1 | G | Joon Han Rhee | | William G. Binckes, Esq. | 1 |
| 19-00451 | Des Moines, IA | 02/11/2019 | 09/17/2019 | 10/01/2019 | Robert W. Baird & Company Incorporated | ISC | Russell Gerard Nieland | Wolper Law Firm PA | NO | NO | 1 | G | Russell Gerard Nieland | | Thomas F. Mahoney, Esq. | 1 |
| 19-00452 | St. Louis, MO | 02/11/2019 | 09/12/2019 | 09/26/2019 | LPL Financial LLC | ISC | Mark H. Schlipman | Wolper Law Firm PA | NO | NO | 1 | G | Mark H. Schlipman | | Robert J. Scafuri, Esq. | 1 |
| 19-00453 | Orlando, FL | 02/11/2019 | 10/08/2019 | 11/21/2019 | LPL Financial LLC | ISC | James Robert Caldwell | Wolper Law Firm PA | NO | NO | 3 | G | James Robert Caldwell | | Maurice M. Feller, Esq. | 1 |
| 19-00454 | Baltimore, MD | 02/11/2019 | 09/05/2019 | 10/02/2019 | Hornor Townsend & Kent Incorporated | Leake & Andersson | Mark J. Ring | Wolper Law Firm PA | NO | NO | 1 | G | Mark J. Ring | | Brenda J. Stovall, Esq. | 1 |
| 19-00456 | New York, NY | 02/08/2019 | 08/27/2019 | 09/09/2019 | National Securities Corporation | ISC | Glenn Bryan Hechler | Finkelstein & Feil | NO | NO | 1 | G | Glenn Bryan Hechler | | Howard L. Sobel | 1 |
| 19-00467 | Los Angeles, CA | 02/11/2019 | 09/16/2019 | 10/16/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | Jerald Joseph Halverson; Michael Joseph Winn | Elkins Kalt et al. | NO | NO | 2 | G | Jerald Joseph Halverson; Michael Joseph Winn | | Robert D. Sussin, Esq. - Chair; Richard M. Norman, Esq.; Christine A. Page, Esq. | 1 |
| 19-00468 | Orlando, FL | 02/12/2019 | 11/13/2019 | 11/29/2019 | Wells Fargo Clearing Services LLC | ISC | Michael David Hopkins | Bressler Amery & Ross | NO | NO | 2 | G | Michael David Hopkins | | Stuart K. Furman | 1 |
| 19-00469 | San Juan, PR | 02/11/2019 | 08/13/2019 | 08/27/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Sonia Pou | Toro Colon Mullet PSC | NO | NO | 1 | G | Sonia Pou | | Stuart K. Furman | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|---|----------------------------|------------------------|----------------|-----------------|-----------------|---------------|---|----------------------------|-----------------------------|------------|
| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 19-00472 | Columbia, SC | 02/12/2019 | 09/26/2019 | 11/04/2019 | Lutheran Brotherhood Securities Corporation; Thrivent Investment Management Incorporated | Bryan Cave et al. | Eric Lloyd Vogen | AdvisorLaw LLC | NO | NO-D | 1 | G | Eric Lloyd Vogen | | Michael J. Ahlstrom, Esq. | 1 |
| 19-00473 | Columbia, SC | 02/12/2019 | 09/16/2019 | 10/01/2019 | FSC Securities Corporation | ISC | Eric Lloyd Vogen | AdvisorLaw LLC | NO | OB | 1 | G | Eric Lloyd Vogen | | Michael J. Ahlstrom, Esq. | 1 |
| 19-00479 | Boca Raton, FL | 02/12/2019 | 10/11/2019 | 10/16/2019 | UBS Financial Services Incorporated | ISC | Stephen Mark Sullivan | Bressler Amery & Ross | NO | NO | 1 | G | Stephen Mark Sullivan | | Seth L. Finkel, Esq. | 1 |
| 19-00487 | Detroit, MI | 02/14/2019 | 10/23/2019 | 11/20/2019 | Royal Securities Company | ISC | William Calvin Kapteyn Jr. | HLBS Law | NO | NO-D | 1 | G | William Calvin Kapteyn Jr. | | Terrance J. Dorcy | 2 |
| 19-00488 | Boca Raton, FL | 02/13/2019 | 10/04/2019 | 10/17/2019 | Ameriprise Financial Services Incorporated | ISC | Robert Michael Burns Jr. | HLBS Law | NO | NO | 1 | G | Robert Michael Burns Jr. | | Monica I. Salis, Esq. | 1 |
| 19-00493 | Boca Raton, FL | 02/13/2019 | 11/05/2019 | 11/26/2019 | Wells Fargo Clearing Services LLC | ISC | Robert Michael Burns Jr. | HLBS Law | NO | NO | 1 | G | Robert Michael Burns Jr. | | James W. Geiger, Esq. | 1 |
| 19-00495 | Tampa, FL | 02/14/2019 | 10/03/2019 | 11/19/2019 | LPL Financial LLC; UBS Financial Services Incorporated | ISC (LPL); Bressler Amery & Ross (UBS) | Stephen Joseph Martin | Wolper Law Firm PA | NO | NO | 4 | G | Stephen Joseph Martin | | John P. Cullem, Esq. | 1 |
| 19-00515 | Los Angeles, CA | 02/18/2019 | 09/10/2019 | 10/10/2019 | Cetera Advisor Networks LLC | ISC | Steven Craig Henningson | Wolper Law Firm PA | NO | NO | 1 | G | Steven Craig Henningson | | George L. Tindall | 1 |
| 19-00518 | Los Angeles, CA | 02/18/2019 | 09/24/2019 | 10/11/2019 | Equity Services Incorporated | Winget Spadafora & Schwartzberg | Gal Sherman | Wolper Law Firm PA | NO | NO/NN | 3 | G | Gal Sherman | | George L. Tindall | 1 |
| 19-00527 | Detroit, MI | 02/20/2019 | 08/08/2019 | 10/22/2019 | LPL Financial LLC | ISC | Thomas Phillip Norris | Joseph H. Spiegel PLLC | NO | NO | 2 | G | Thomas Phillip Norris | | Robert J. Scafuri, Esq. | 2 |
| 19-00538 | San Francisco, CA | 02/19/2019 | 11/14/2019 | 11/26/2019 | LPL Financial LLC | ISC | Kent Douglas Kuhlmann | Wolper Law Firm PA | NO | NO/NN | 1 | G | Kent Douglas Kuhlmann | | Laurel Littman Gothelf, MPH | 1 |
| 19-00563 | New York, NY | 02/22/2019 | 12/02/2019 | 02/06/2020 | Prudential Securities LLC; Shearson Lehman Brothers LLC | Law Offices of Alan S. Brodherson (PS); ISC (SLB) | Anthony Sica | Weltz Law | NO | NO | 5 | G | Anthony Sica | | Joan M. Traub, Esq. | 2 |
| 19-00584 | Cleveland, OH | 02/26/2019 | 11/20/2019 | 12/05/2019 | Fifth Third Securities Incorporated | Jackson Lewis PC | Douglas Ryan Magers | HLBS Law | NO | NO | 1 | G | Douglas Ryan Magers | | Tracy L. Allen, Esq. | 1 |
| 19-00587 | Dallas, TX | 02/26/2019 | 12/05/2019 | 12/23/2019 | First Financial Equity Corporation; Securities America Incorporated | ISC | Brian W. Armstrong | Wolper Law Firm PA | NO | NO | 1 | G | Brian W. Armstrong | | C. Sumpter Logan | 1 |
| 19-00589 | San Juan, PR | 02/25/2019 | 08/14/2019 | 08/22/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Xavier A. Aguayo Diaz | Toro Colon et al. | NO | NO | 7 | G | Xavier A. Aguayo Diaz | | Martin A. Feigenbaum, Esq. | 1 |
| 19-00600 | New York, NY | 02/26/2019 | 10/10/2019 | 10/16/2019 | Park Avenue Securities LLC | ISC | Michael H. Olivia | Baritz & Colman | NO | NO | 1 | G | Michael H. Olivia | | Joan M. Traub, Esq. | 1 |
| 19-00605 | Newark, NJ | 02/28/2019 | 08/07/2019 | 09/11/2019 | Raymond James Financial Services Incorporated | ISC | Nicholas William Sergio | Ghabai Law Group LLC | NO | NO | 1 | G | Nicholas William Sergio | | Robert E. Anderson, Esq. | 1 |
| 19-00619 | Omaha, NE | 02/28/2019 | 01/06/2020 | 01/21/2020 | LPL Financial LLC | ISC | Ronald L. Carson, Jr. | Wolper Law Firm PA | NO | NO | 2 | G/D | Ronald L. Carson, Jr. | | Philip J. Glick, Esq. | 1 |

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|--------------------------|----------------|-------------|--------------------|--------------|---|--|---|---------------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-00627 | New York, NY | 03/01/2019 | 08/13/2019 | 10/09/2019 | Raymond James & Associates Incorporated | ISC | Alan Robert Rosenberg | Morrit Hock & Hamroff | NO | OB/NO | 2 | G | Alan Robert Rosenberg | | Susan A. Romano - Chair; Susan C. Lushing, Esq.; Michael I. Stolar | 1 |
| 19-00645 | Boca Raton, FL | 03/04/2019 | 12/11/2019 | 12/27/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Gustavo Carvajal | GrayRobinson PA | NO | NO | 1 | G | Gustavo Carvajal | | Carl Shechter, Esq. | 1 |
| 19-00649 | Charlotte, NC | 03/05/2019 | 10/01/2019 | 10/18/2019 | UBS Financial Services Incorporated | Bressler Amery & Ross | Wesley Eugene Singleton | Wolper Law Firm PA | NO | NO | 1 | G | Wesley Eugene Singleton | | Patricia Ann Tracey, Esq. | 1 |
| 19-00671 | San Juan, PR | 03/07/2019 | 08/20/2019 | 09/04/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Rafael E. Rivera | Toro Colon Mullet PSC | NO | NO | 17 | G | Rafael E. Rivera | | Martin A. Feigenbaum, Esq. | 1 |
| 19-00678 | New York, NY | 03/10/2019 | 09/18/2019 | 10/11/2019 | GunnAllen Financial Incorporated; First Midwest Securities Incorporated; First Cambridge Securities Corporation; Investec Ernst & Company | No-show (GAF, FMS & FCS); Herrick Feinstein LLP (IE) | Michael Raymond Gimeli | Weltz Law PC | NO | OB/NO | 4 | G/D | Michael Raymond Gimeli | | Cheryl H. Agris, PhD | 1 |
| 19-00679 | Tampa, FL | 03/11/2019 | 09/17/2019 | 10/02/2019 | Lincoln Financial Securities Corporation | ISC | Marie King Colbert | Saretsky Hart et al. | NO | NO | 1 | G | Marie King Colbert | | Gayle B. Carlson, Esq. | 1 |
| 19-00710 | Norfolk, VA | 03/13/2019 | 10/07/2019 | 10/17/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | Michael Thomas Brooks | FA Expungement LLC | NO | UN | 1 | D | | Michael Thomas Brooks | Gregory Hunter Mathews | 1 |
| 19-00716 | New York, NY | 03/13/2019 | 11/12/2019 | 12/13/2019 | The Jeffrey Matthews Financial Group LLC | ISC | Jeffrey Ross Halpert | Jardim Meisner & Sussre | NO | OB/NO | 3 | G/D | Jeffrey Ross Halpert | | Carol Maria Luttati | 2 |
| 19-00722 | Des Moines, IA | 03/14/2019 | 09/25/2019 | 12/20/2019 | LPL Financial LLC | ISC | James Philip Sandager | AdvisorLaw LLC | NO | NN | 1 | G | James Philip Sandager | | William M. Azkoul, JD | 2 |
| 19-00730 | San Juan, PR | 03/14/2019 | 09/18/2019 | 11/13/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Carlos Arturo Pou | Toro Colon Mullet PSC | NO | NO | 1 | G | Carlos Arturo Pou | | Seth L. Finkel, Esq. | 1 |
| 19-00739 | Seattle, WA | 03/15/2019 | 08/13/2019 | 10/24/2019 | Geneos Wealth Management Incorporated | Kutak Rock LLP | Morgan Lewis Arford; Brian Joseph Lockett | Ryan Swanson & Cleveland | NO | NO | 12 | G | Morgan Lewis Arford; Brian Joseph Lockett | | Philip E. Cutler, Esq. | 1 |
| 19-00749 | San Juan, PR | 03/18/2019 | 09/17/2019 | 10/01/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Carlos Arturo Pou | Toro Colon Mullet PSC | NO | NO | 4 | G | Carlos Arturo Pou | | Martin A. Feigenbaum, Esq. | 1 |
| 19-00750 | Newark, NJ | 03/18/2019 | 10/30/2019 | 12/05/2019 | The Investment Center Incorporated | ISC | Jeffrey Heinel | Winget Spadafora & Schwartzberg | NO | NN | 1 | G | Jeffrey Heinel | | Jack Friedman, Esq. - Chair; Marvin L. Schuldiner; Richard Morse | 1 |
| 19-00761 | Chicago, IL | 03/19/2019 | 12/04/2019 | 12/11/2019 | Edward D Jones & Company Limited Partnership | Bressler Amery & Ross | Kelly Jean Daniels | Gregory B. Simon Law LLC | NO | NO/NN | 1 | G | Kelly Jean Daniels | | Leon Fox, JD | 1 |
| 19-00773 | Boston, MA | 03/20/2019 | 09/25/2019 | 10/29/2019 | Customers only | Customer | Frank Congemi | Reminger Co. LPA | NO | NO | 1 | G | Frank Congemi | | Howard N. Gorney - Chair; Ericka B. Gray; Debra M. Brown, Esq. | 1 |
| 19-00797 | San Juan, PR | 03/22/2019 | 10/08/2019 | 10/16/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Jose E. Crescioni | Toro Colon Mullet PSC | NO | NO | 1 | G | Jose E. Crescioni | | Louis David Huss | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|---|--|----------------------------|--------------------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-00799 | New York, NY | 03/22/2019 | 11/06/2019 | 12/16/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Mark E. Johnson | Stowell & Friedman | NO | NN | 2 | G | Mark E. Johnson | | Ellyn S. Roth | 1 |
| 19-00835 | Boca Raton, FL | 03/28/2019 | 09/05/2019 | 09/13/2019 | LPL Financial LLC | ISC | Austin Frye | Ghabai Law Group LLC | NO | NO | 1 | G | Austin Frye | | Mark C. Perry, Esq. | 1 |
| 19-00849 | San Juan, PR | 03/28/2019 | 10/02/2019 | 10/15/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Casto Miguel Coll Del Rio | Toro Colon Mullet PSC | NO | NO | 1 | G | Casto Miguel Coll Del Rio | | Christopher J. Klein, Esq. | 1 |
| 19-00868 | Tampa, FL | 04/01/2019 | 10/17/2019 | 11/07/2019 | Securities America Incorporated | ISC | Daniel Jay Wolff | FA Expungement LLC | NO | OB | 1 | G | Daniel Jay Wolff | | Nicholas John Taldone, Esq. | 1 |
| 19-00869 | Tampa, FL | 04/01/2019 | 11/05/2019 | 11/06/2019 | Moors & Cabot Incorporated | Mintz Levin PC | Marc S. Wolff | FA Expungement LLC | OB | UN | 1 | D | | Marc S. Wolff | James Mathieu | 1 |
| 19-00878 | Providence, RI | 04/01/2019 | 09/25/2019 | 11/25/2019 | Signator Investors Incorporated | ISC | Danny L. Bullock | Law Office of John M. Verdecchia | NO | UN | 4 | D | | Danny L. Bullock | Patrick Richard Westerkamp, Esq. - Chair; Paul A. Auerbach; Michael Jonathan Chazan | 1 |
| 19-00880 | Charlotte, NC | 04/01/2019 | 01/16/2020 | 02/04/2020 | Ameritas Investment Corporation; Equity Services Incorporated | ISC (A1); Winget Spadafora & Schwartzberg (ES) | Carl Edward Rogers | FA Expungement LLC | NO | NO/NN | 4 | G | Carl Edward Rogers | | Dwane Edward Vickstrom | 1 |
| 19-00881 | Oklahoma City, OK | 04/01/2019 | 08/20/2019 | 10/15/2019 | Raymond James Financial Services Incorporated | ISC | Jeremy Dean Lott | FA Expungement LLC | NO | NO | 1 | G | Jeremy Dean Lott | | Daniel J. Pagnano, Esq. | 2 |
| 19-00882 | New York, NY | 04/01/2019 | 10/29/2019 | 11/19/2019 | Parkland Securities LLC | ISC | G. Scott Diddel | FA Expungement LLC | NO | OB/NO | 3 | G/D | G. Scott Diddel | | Albert Rizzo | 1 |
| 19-00900 | Newark, NJ | 04/02/2019 | 08/15/2019 | 09/30/2019 | Hennion & Walsh Incorporated | ISC | Stephen George Kowalski | ISC | NO | OB/NO | 4 | G/D | Stephen George Kowalski | | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 19-00901 | New York, NY | 04/02/2019 | 11/12/2019 | 11/27/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Matthew T. Leone | Law Offices of Patrick R. Mahoney PC | NO | NO | 1 | G | Matthew T. Leone | | Richard W. Cutler, Esq. | 1 |
| 19-00934 | Tampa, FL | 04/04/2019 | 11/25/2019 | 01/10/2020 | Summit Brokerage Services Incorporated | Winget Spadafora & Schwartzberg | Ronald Dean Clark | Jenks & Harvey | NO | NO/NN | 9 | G | Ronald Dean Clark | | Gayle B. Carlson, Esq. | 1 |
| 19-00938 | Indianapolis, IN | 05/01/2019 | 09/11/2019 | 10/03/2019 | USA Financial Securities Corporation | ISC | Bradley S. Ford | Barnes & Thornburg | NO | OB | 1 | G | Bradley S. Ford | | Robert David Epstein | 1 |
| 19-00940 | New York, NY | 04/05/2019 | 09/12/2019 | 09/17/2019 | American Portfolios Financial Services Incorporated | ISC | Andrew Gerard Corrigan | RJM Counsel PLLC | OB | NN | 1 | G | Andrew Gerard Corrigan | | Gerald M. Levine | 1 |
| 19-00942 | New York, NY | 04/05/2019 | 11/12/2019 | 12/13/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Adam Christopher Stevko | FA Expungement LLC | NO | NO | 1 | G | Adam Christopher Stevko | | Robert J. Kheel, Esq. | 2 |
| 19-00949 | Newark, NJ | 04/05/2019 | 09/05/2019 | 10/23/2019 | Hennion & Walsh Incorporated | ISC | Mamode Abdullah Oozeerally | ISC | NO | NO | 3 | G | Mamode Abdullah Oozeerally | | Robert E. Anderson, Esq. | 1 |
| 19-00951 | Dallas, TX | 04/08/2019 | 11/19/2019 | 12/16/2019 | Samco Capital Markets Incorporated | Hedrick Kring PLLC | Roger James Engemoen Jr. | Akin Gump et al. | NO | NO | 21 | G | Roger James Engemoen Jr. | | Eric Ross Cromartie | 1 |

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|------------|------------------|-------------|--------------------|--------------|--|-----------------------------------|--------------------------------|---------------------------------|----------------|-----------------|------------------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | No. of Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-00967 | New York, NY | 04/09/2019 | 03/18/2020 | 04/27/2020 | Cetera Advisor Networks LLC | ISC | Ralph Lawrence Roth | Jardim Meisner & Susser | NO | NN | 1 | G | Ralph Lawrence Roth | | Howard L. Sobel | 1 |
| 19-00974 | Los Angeles, CA | 04/09/2019 | 10/11/2019 | 11/26/2019 | Ameriprise Financial Services Incorporated | ISC | Louis Basil Windawi | Freeman Mathis & Gary | NO | NO-D | 1 | G | Louis Basil Windawi | | Milton N. Gross | 1 |
| 19-00984 | New York, NY | 04/10/2019 | 10/22/2019 | 10/30/2019 | Voya Financial Advisors Incorporated | Winget Spadafora & Schwartzberg | G. Scott Diddel | FA Expungement LLC | NO | NO | 3 | G | G. Scott Diddel | | Susan A. Romano | 1 |
| 19-00985 | Memphis, TN | 04/10/2019 | 11/14/2019 | 12/09/2019 | UBS Financial Services Incorporated | Keesal Young & Logan | David Anthony Pickler | FA Expungement LLC | NO | OB | 1 | G | David Anthony Pickler | | Michael J. Ahlstrom, Esq. | 1 |
| 19-00986 | Phoenix, AZ | 04/10/2019 | 09/17/2019 | 09/30/2019 | Woodbury Financial Services Incorporated | ISC | William Ryan Zenk | FA Expungement LLC | NO | NO | 1 | G | William Ryan Zenk | | Richard D. Fincher, Esq. | 1 |
| 19-00995 | Phoenix, AZ | 04/11/2019 | 09/05/2019 | 09/16/2019 | Pruco Securities LLC | Law Offices of Alan S. Brodherson | Scott Douglas Genzman | AdvisorLaw LLC | NO | NO | 1 | G | Scott Douglas Genzman | | I. Douglas Dunipace, Esq. | 1 |
| 19-00996 | New York, NY | 04/11/2019 | 09/09/2019 | 10/17/2019 | The GMS Group LLC | ISC | Paul David Mante | Lubiner Schmidt Palumbo LLC | NO | NO | 5 | G | Paul David Mante | | Joseph H. Cerame, Esq. | 1 |
| 19-01025 | Philadelphia, PA | 04/12/2019 | 11/20/2019 | 03/12/2020 | AXA Advisors LLC | ISC | Anthony P. Lubrano | Akerman LLP | NO | NO | 2 | G | Anthony P. Lubrano | | Carol H. Gold, Esq. | 2 |
| 19-01027 | Chicago, IL | 04/16/2019 | 10/21/2019 | 11/01/2019 | Customers only | Customer | Matthew Erich Lemke | , Law Office of John A. Dienner | NO | NO | 1 | G | Matthew Erich Lemke | | Leon Fox, JD - Chair; Michael S. Matek, Esq.; Theodore W. Wroblewski, Esq. | 1 |
| 19-01032 | Raleigh, NC | 04/16/2019 | 02/07/2020 | 03/05/2020 | SunTrust Investment Services Incorporated | Gray Robinson PA | Nicole June Robertson | AdvisorLaw LLC | NO | OB/NO | 2 | G | Nicole June Robertson | | John P. Cullem, Esq. | 1 |
| 19-01052 | Hartford, CT | 04/17/2019 | 10/02/2019 | 10/22/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Thomas Hutchison; Joshua Kampf | Winget Spadafora & Schwartzberg | NO | NO/NN | 3 | G | Thomas Hutchison; Joshua Kampf | | Robert B. Titus - Chair; Michael P. Breton; Richard Hallett Nichol (Withdrawn) | 1 |
| 19-01059 | Newark, NJ | 04/17/2019 | 08/14/2019 | 09/11/2019 | The GMS Group LLC | ISC | Paul David Mante | Lubiner Schmidt Palumbo LLC | NO | NO | 2 | G | Paul David Mante | | Robert E. Anderson, Esq. | 1 |
| 19-01060 | Newark, NJ | 04/17/2019 | 08/07/2019 | 10/01/2019 | The GMS Group LLC | ISC | Paul David Mante | Lubiner Schmidt Palumbo LLC | NO | NO | 1 | D | | Paul David Mante | Louis H. Miron, Esq. | 1 |
| 19-01078 | Newark, NJ | 04/19/2019 | 09/25/2019 | 10/28/2019 | RBC Capital Markets LLC | Dorsey & Whitney | John Peter Micera | Bressler Amery & Ross | NO | NO | 2 | G | John Peter Micera | | Morton S. Bunis, Esq. | 2 |
| 19-01080 | New Orleans, LA | 04/19/2019 | 09/10/2019 | 10/31/2019 | Edward D Jones & Company Limited Partnership | ISC | Benjamin Thomas Domingue | AdvisorLaw LLC | NO | NN | 1 | G | Benjamin Thomas Domingue | | Brian James Tagtmeier | 1 |
| 19-01102 | Baltimore, MD | 04/23/2019 | 10/17/2019 | 11/21/2019 | Citigroup Global Markets Incorporated | Bressler Amery & Ross | Thomas Harold Clark | AdvisorLaw LLC | NO | NO | 2 | G | Thomas Harold Clark | | Richard E. Lauziere, CPA | 1 |
| 19-01112 | Los Angeles, CA | 04/23/2019 | 11/12/2019 | 12/26/2019 | Wells Fargo Clearing Services LLC | ISC | Allen Frances Schreiber | HLBS Law | NO | NO | 1 | G | Allen Frances Schreiber | | Benjamin F. Breslauer | 1 |
| 19-01113 | New Orleans, LA | 04/23/2019 | 12/09/2019 | 12/12/2019 | Pan-American Financial Advisers; Raymond James Financial Services Incorporated | ISC (RJFS); No show (P-AFA) | Stanley Jerome Keyes | AdvisorLaw LLC | NO | UN | 2 | D | | Stanley Jerome Keyes | Brian P. Jakes, Sr. | 1 |

| Docket No. | Venue | Claim Filed | First Hearing Date | Award Issued | Names of Respondents | Respondents' Attorneys | Claimant Brokers | Claimants' Attorneys | Did Rs. Object | Did Cmr. Object | Results of | | Brokers Granted Expungement (in whole or in part) | Brokers Denied Expungement | Arbitrator Names | Hrg. Sess. |
|------------|------------------|-------------|--------------------|--------------|--|------------------------|--------------------------|--------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-01114 | Phoenix, AZ | 04/23/2019 | 12/10/2019 | 12/23/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Brian Francis Scanlon | AdvisorLaw LLC | NO | NO | 1 | G | Brian Francis Scanlon | | Walter Steven Schwartz | 1 |
| 19-01115 | Los Angeles, CA | 04/23/2019 | 09/23/2019 | 10/22/2019 | LPL Financial LLC | ISC | Jennifer Lynne Turner | Ghabai Law Group LLC | NO | NO | 1 | G | Jennifer Lynne Turner | | Neil S. Jasper | 1 |
| 19-01145 | Orlando, FL | 04/25/2019 | 11/04/2019 | 01/07/2020 | Wells Fargo Advisors LLC | ISC | George Edward Mathis | Bruce W. Barnes PA | NO | NO-D | 2 | G | George Edward Mathis | | John P. Cullem, Esq. - Chair; Lewis Gordon Brewer; Gregory L. Hess | 1 |
| 19-01174 | New Orleans, LA | 04/26/2019 | 03/12/2020 | 03/25/2020 | FSC Securities Corporation; Kovack Securities Incorporated | ISC | Stanley Jerome Keyes | AdvisorLaw LLC | NO | OB/NO | 2 | G/D | Stanley Jerome Keyes | | Mark C. Watler, JD | 1 |
| 19-01176 | Charlotte, NC | 04/28/2019 | 11/22/2019 | 11/27/2019 | Kalos Capital Incorporated | ISC | Christopher Scott Hobart | FA Expungement LLC | NO | NO | 1 | G | Christopher Scott Hobart | | Susan L. Luck | 1 |
| 19-01188 | New York, NY | 05/01/2019 | 10/25/2019 | 11/11/2019 | Ameriprise Financial Services Incorporated | ISC | Donald Ford Weaver | AdvisorLaw LLC | NO | NO | 1 | G | Donald Ford Weaver | | Robert E. Anderson, Esq. | 1 |
| 19-01189 | Chicago, IL | 04/29/2019 | 01/09/2020 | 01/13/2020 | Ameriprise Financial Services Incorporated | ISC | Jorge Israel Blanco | Gregory B. Simon Law LLC | NO | NO | 1 | G | Jorge Israel Blanco | | Gregory G. Gocek | 1 |
| 19-01194 | San Juan, PR | 04/29/2019 | 09/24/2019 | 10/08/2019 | UBS Financial Services Incorporated | ISC | Alfonso Boneta | Toro Colon Mullet PSC | NO | NO | 1 | G | Alfonso Boneta | | Martin A. Feigenbaum, Esq. | 1 |
| 19-01205 | Reno, NV | 04/30/2019 | 10/29/2019 | 10/31/2019 | Stifel Nicolaus & Company Incorporated | ISC | Mark Jay Elston | AdvisorLaw LLC | NO | NO-D | 1 | G | Mark Jay Elston | | Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) | 1 |
| 19-01211 | New York, NY | 05/01/2019 | 08/06/2019 | 08/19/2019 | UBS Financial Services Incorporated | ISC | Bryan Travis Stephens | Bressler Amery & Ross | NO | NO | 1 | G | Bryan Travis Stephens | | Howard D. Jacob, Esq. | 1 |
| 19-01213 | San Juan, PR | 05/01/2019 | 09/25/2019 | 10/18/2019 | UBS Financial Services Incorporated | ISC | Roberto De Jesus Pou | Toro Colon Mullet PSC | NO | NO | 1 | G | Roberto De Jesus Pou | | Seth L. Finkel, Esq. | 1 |
| 19-01215 | San Juan, PR | 05/01/2019 | 09/19/2019 | 10/02/2019 | UBS Financial Services Incorporated | ISC | Francisco Landivar | Toro Colon Mullet PSC | NO | NO | 1 | G | Francisco Landivar | | Gerald Silverman, Esq. | 1 |
| 19-01225 | Providence, RI | 05/02/2019 | 11/15/2019 | 12/04/2019 | Kestra Investment Services LLC | ISC | D'Amura & Zaidman | James Lewis Worrell | NO | NO | 1 | G | James Lewis Worrell | | Robert E. Anderson, Esq. | 1 |
| 19-01228 | Denver, CO | 05/02/2019 | 10/18/2019 | 11/04/2019 | LPL Financial LLC | ISC | Peter Finley Tedstrom | Ghabai Law Group LLC | NO | NO | 3 | G/D | Peter Finley Tedstrom | | Charles G. Michaels, Esq. | 1 |
| 19-01238 | Jacksonville, FL | 05/06/2019 | 11/05/2019 | 11/19/2019 | Wells Fargo Clearing Services LLC | ISC | Scott Andrew Hilton | Locke Lord LLP | NO | NO | 1 | G | Scott Andrew Hilton | | Maurice M. Feller, Esq. - Chair; Adam Murray Walters; Niels Patrick Murphy | 1 |
| 19-01252 | Richmond, VA | 05/06/2019 | 11/06/2019 | 01/28/2020 | Morgan Stanley | ISC | Haider Sharifi | AdvisorLaw LLC | NO | UN | 1 | D | | Haider Sharifi | Carl F. Bowmer, Esq. | 2 |
| 19-01256 | Pittsburgh, PA | 05/07/2019 | 10/31/2019 | 11/20/2019 | Royal Alliance Associates Incorporated | ISC | Daniel Gerrard Kress | Knox McLaughlin et al. | NO | NO-D | 2 | G | Daniel Gerrard Kress | | Robert E. Anderson, Esq. | 1 |
| 19-01281 | New York, NY | 05/08/2019 | 02/12/2020 | 02/25/2020 | Chase Investment Services Corporation | ISC | Satterlee Stephens LLP | Rinico Sawyer | E, NO | NO-D | 1 | D | | Rinico Sawyer | Laura Wong-Pan | 1 |
| 19-01283 | Cincinnati, OH | 05/08/2019 | 12/03/2019 | 01/16/2020 | Edward D Jones & Company Limited Partnership | ISC | Brian D. Addis | FA Expungement LLC | NO | UN | 4 | D | | Brian D. Addis | Barry Goldman, Esq. | 3 |

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|--------------------------|-----------------|-------------|--------------------|--------------|---|--|----------------------------|---------------------------|----------------|-----------------|---------------------|----------|---|----------------------------|---|------------|
| | | | | | | | | | | | Requests | Requests | | | | |
| 19-01291 | San Juan, PR | 05/08/2019 | 10/22/2019 | 10/28/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Gabriel A. Matos | Toro Colon Mullet PSC | NO | NO | 3 | G | Gabriel A. Matos | | Louis David Huss | 1 |
| 19-01309 | Boston, MA | 05/10/2019 | 10/23/2019 | 11/13/2019 | LPL Financial LLC | ISC | Regina Ann Bernarduci | HLBS Law | NO | NO | 1 | G | Regina Ann Bernarduci | | Denise L. Presley, Esq. | 1 |
| 19-01316 | New York, NY | 05/10/2019 | 10/29/2019 | 11/20/2019 | Commerce One Financial Incorporated | ISC | Michael Patrick Murphy | AdvisorLaw LLC | NO | NO | 1 | G | Michael Patrick Murphy | | Susan C. Lushing, Esq. | 1 |
| 19-01321 | Boca Raton, FL | 05/10/2019 | 02/04/2020 | 02/12/2020 | UBS Financial Services Incorporated; Morgan Stanley | Bressler Amery & Ross (UBS); ISC (MS) | Henry Grinberg | Kaufman Dolowich & Voluck | NO | OB/NO | 3 | G | Henry Grinberg | | Martin A. Feigenbaum, Esq. | 1 |
| 19-01330 | New York, NY | 05/13/2019 | 10/08/2019 | 11/05/2019 | Wells Fargo Advisors Financial Network LLC | ISC | Michael Patrick Murphy | AdvisorLaw LLC | NO | NN | 1 | G | Michael Patrick Murphy | | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 19-01331 | New York, NY | 05/13/2019 | 01/10/2020 | 01/22/2020 | Aegis Capital Corporation; A.G.P./Alliance Global Partners | Sichenzia Ross Ference LLP (AC); ISC (AGP) | Jean-Matthieu Josse | Kaufman Dolowich & Voluck | NO | NO | 2 | G | Jean-Matthieu Josse | | Dan Brecher, Esq. | 1 |
| 19-01332 | New York, NY | 05/13/2019 | 11/08/2019 | 12/04/2019 | Columbus Advisory Group Limited | ISC | Michael Patrick Murphy | AdvisorLaw LLC | NO | NO/NN | 5 | G/D | Michael Patrick Murphy | | Josian Antoine, Esq. | 1 |
| 19-01339 | Atlanta, GA | 05/13/2019 | 12/10/2019 | 12/27/2019 | Money Concepts Capital Corporation | ISC | Roger Scott Green | AdvisorLaw LLC | NO | OB | 1 | G | Roger Scott Green | | Harvey R. Linder, Esq. | 1 |
| 19-01354 | Houston, TX | 05/15/2019 | 11/20/2019 | 12/05/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Craig Wakefield | McGuireWoods LLP | NO | NO | 1 | G | Craig Wakefield | | Lynne M. Gomez, Esq. - Chair; Mary Esther Escobedo; Kathy R. Holler | 1 |
| 19-01357 | Newark, NJ | 05/15/2019 | 11/06/2019 | 12/03/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Alexander A. Napoli | AdvisorLaw LLC | NO | NO | 1 | G | Alexander A. Napoli | | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 19-01358 | New York, NY | 05/15/2019 | 05/28/2020 | 06/16/2020 | AXA Advisors LLC; The Equitable Life Assurance Society of the United States | ISC | Ferdinand Alexander Ruplin | FA Expungement LLC | NO | NO | 2 | G | Ferdinand Alexander Ruplin | | Sam Antar, Esq. | 1 |
| 19-01360 | San Diego, CA | 06/04/2019 | 10/24/2019 | 11/22/2019 | LPL Financial LLC | Markun Zusman et al. | Terrance W. Arges | Mirch Law Firm | NO | NO | 1 | G | Terrance W. Arges | | Mitchell Lee Lathrop - Chair; Dan Deuprey; Steven A. Fox | 2 |
| 19-01362 | Cincinnati, OH | 05/15/2019 | 02/11/2020 | 04/01/2020 | Bankers Life Securities Incorporated | Steven K. Huffer & Associates PC | Ryan Owen Tarjanyi | FA Expungement LLC | OB | UN | 2 | D | | Ryan Owen Tarjanyi | Joseph R. Soraghan, Esq. | 2 |
| 19-01376 | New Orleans, LA | 05/16/2019 | 12/10/2019 | 01/23/2020 | Prudential Equity Group LLC | Law Offices of Alan S. Broderson | Michael A. Boagni | AdvisorLaw LLC | NO | OB/NO | 3 | G | Michael A. Boagni | | C. Sumpter Logan | 1 |
| 19-01381 | New York, NY | 06/12/2019 | 02/24/2020 | 03/03/2020 | Grunta & Company LLC | No-show | Jordan Whitney Waring | AdvisorLaw LLC | NO | NN | 1 | G | Jordan Whitney Waring | | Elena G. Rodriguez | 1 |
| 19-01382 | Richmond, VA | 05/16/2019 | 11/11/2019 | 01/27/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Gregory Lucky Nerantzis | AdvisorLaw LLC | NO | OB/NO | 2 | G | Gregory Lucky Nerantzis | | Jane Kwok Ping Tam | 1 |
| 19-01408 | New York, NY | 05/21/2019 | 11/07/2019 | 12/05/2019 | Aegis Capital Corporation | ISC | Joseph Anthony Cordi | Weltz Kakos et al. | NO | NO/NN | 2 | G | Joseph Anthony Cordi | | Mary Lou Allen McManney, PhD | 1 |
| 19-01412 | Seattle, WA | 05/21/2019 | 11/07/2019 | 12/19/2019 | Kestra Investment Services LLC | D'Amura & Zaidman | Jeffrey Norman Cashman | AdvisorLaw LLC | NO | NO | 1 | G | Jeffrey Norman Cashman | | David William Hickman, JD | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|--|-----------------------------|---------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-01419 | Oklahoma City, OK | 05/22/2019 | 11/04/2019 | 12/06/2019 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Michael C. Rodriguez | Rogge Dunn Group PC | NO | NO | 1 | G | Michael C. Rodriguez | | Raymond C. Kerr, Esq. - Chair; Robert J. Gregory; Colleen Margaret Baker | 1 |
| 19-01429 | San Juan, PR | 05/22/2019 | 01/16/2020 | 01/30/2020 | Popular Securities LLC | ISC | Roberto Luis Rivera Vazquez | Kaufman Dolowich & Voluck | NO | NO | 1 | G | Roberto Luis Rivera Vazquez | | Martin A. Feigenbaum, Esq. | 1 |
| 19-01448 | Jackson, MS | 05/23/2019 | 10/08/2019 | 10/31/2019 | LPL Financial LLC | ISC | Joseph Oscar Bollinger Jr. | Shumaker Loop & Kendrick | NO | NO | 2 | G | Joseph Oscar Bollinger Jr. | | Stuart K. Furman - Chair; Langfred W. White, Esq.; Robert E. Graves, JD | 1 |
| 19-01454 | Albany, NY | 05/24/2019 | 12/11/2019 | 01/02/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Todd Edward Silaika | AdvisorLaw LLC | NO | NO | 1 | G | Todd Edward Silaika | | Alice E. Winkler, Esq. | 1 |
| 19-01458 | Los Angeles, CA | 05/24/2019 | 01/22/2020 | 01/30/2020 | LPL Financial LLC | ISC | David Munho Choi | HLBS Law | NO | NO | 1 | G | David Munho Choi | | Robert D. Sussin, Esq. | 1 |
| 19-01463 | Washington, DC | 05/24/2019 | 11/20/2019 | 12/27/2019 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Kevin Brent Collison | AdvisorLaw LLC | NO | NO/NN | 1 | G | Kevin Brent Collison | | Larry E. Ray, Esq. | 1 |
| 19-01482 | New York, NY | 05/29/2019 | 11/14/2019 | 01/13/2020 | Quick & Reilly Incorporated | Bressler Amery & Ross | Lysandra Danielle Maxim | AdvisorLaw LLC | NO | NO | 1 | G | Lysandra Danielle Maxim | | Ted M. Rosen, Esq. | 1 |
| 19-01484 | Charlotte, NC | 05/29/2019 | 12/17/2019 | 04/13/2020 | Woodbury Financial Services Incorporated | ISC | Steven Matthew Broughton | FA Expungement LLC | NO | NN | 1 | G | Steven Matthew Broughton | | Michael J. Ahlstrom, Esq. | 1 |
| 19-01494 | Tampa, FL | 05/30/2019 | 12/10/2019 | 12/24/2019 | Sagepoint Financial Incorporated; Cetera Advisors LLC | ISC (SF); Winget Spadafora & Schwartzberg (CA) | Tyler Harrelson | Wolper Law Firm PA | NO | NO | 3 | G | Tyler Harrelson | | Karl A. Vogeler, III | 1 |
| 19-01500 | Chicago, IL | 05/30/2019 | 12/19/2019 | 12/30/2019 | Thrivent Investment Management Incorporated | ISC | David James Henry | Wolper Law Firm PA | NO | NO | 2 | G | David James Henry | | Philip J. Glick, Esq. | 1 |
| 19-01501 | San Juan, PR | 05/30/2019 | 10/23/2019 | 10/29/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Ricardo Eboli-Kodesh | Toro Colon Mullet PSC | NO | NO | 1 | G | Ricardo Eboli-Kodesh | | Martin A. Feigenbaum, Esq. | 1 |
| 19-01534 | Seattle, WA | 05/31/2019 | 12/05/2019 | 12/13/2019 | Banc of America Investment Services Incorporated | Bressler Amery & Ross | Jason M. Trichler | AdvisorLaw LLC | NO | NO | 1 | G | Jason M. Trichler | | Kenneth James Pedersen | 1 |
| 19-01536 | Los Angeles, CA | 05/31/2019 | 01/22/2020 | 02/05/2020 | Goldman Sachs & Company | Cohen & Gresser | Tiffany L. Wright | AdvisorLaw LLC | NO | NO | 1 | G | Tiffany L. Wright | | Joyce L. Hurley | 1 |
| 19-01549 | Seattle, WA | 06/03/2019 | 11/27/2019 | 12/03/2019 | Royal Alliance Associates Incorporated | ISC | Earl Barney Hartley | AdvisorLaw LLC | NO | NO | 1 | G | Earl Barney Hartley | | Katherine Hendricks, Esq. | 1 |
| 19-01556 | San Francisco, CA | 06/04/2019 | 03/03/2020 | 03/17/2020 | Morgan Stanley | ISC | Daniella R. Rand | HLBS Law | NO | NO | 2 | G | Daniella R. Rand | | Daniel M. Yamshon, Esq. | 1 |
| 19-01576 | Boca Raton, FL | 06/04/2019 | 02/04/2020 | 02/19/2020 | Raymond James & Associates Incorporated | ISC | Dianne Shouldice Townsend | HLBS Law | NO | OB | 1 | D | | Dianne Shouldice Townsend | Seth L. Finkel, Esq. | 1 |
| 19-01577 | Boca Raton, FL | 06/04/2019 | 02/10/2020 | 02/14/2020 | Raymond James & Associates Incorporated | ISC | Seth Adrian Townsend | HLBS Law | NO | OB | 1 | G | Seth Adrian Townsend | | Edward R. Niederriter, Esq. | 1 |
| 19-01605 | New York, NY | 06/09/2019 | 01/07/2020 | 03/20/2020 | Chase Investment Services Corporation; National Securities Corporation | Satterlee Stephens LLP (CIS); ISC (NS) | Mark Sam Kolta | FA Expungement LLC | NO | NO | 3 | G | Mark Sam Kolta | | Richard W. Vallario, Esq. | 2 |

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| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 19-01622 | Wichita, KS | 06/10/2019 | 11/21/2019 | 12/10/2019 | Carey Thomas Hoover & Breault Incorporated | ISC | Thomas Paul Hoover | AdvisorLaw LLC | NO | NO/NN | 2 | G | Thomas Paul Hoover | | Joseph Neal Richardson | 1 |
| 19-01623 | Milwaukee, WI | 06/10/2019 | 04/16/2020 | 04/24/2020 | Northwestern Mutual Investment Services LLC | ISC | Eric David Raether | AdvisorLaw LLC | NO | OB | 1 | D | | Eric David Raether | Michael S. Matek, Esq. | 1 |
| 19-01639 | Los Angeles, CA | 06/11/2019 | 03/25/2020 | 04/17/2020 | Centaurus Financial Incorporated; National Planning Corporation | ISC (CF); Saretsky Hart et al. (NP) | Steven Phillip Margulin | The Law Offices of Tyson W. Kovash | NO | NO-D | 1 | G | Steven Phillip Margulin | | George L. Tindall | 1 |
| 19-01647 | New York, NY | 06/11/2019 | 12/11/2019 | 12/19/2019 | Credit Suisse Securities (USA) LLC | ISC | Lily Pirouzian | Bracewell LLP | NO | NO | 1 | G | Lily Pirouzian | | Arthur Neil Tolciss, Esq. | 1 |
| 19-01650 | Charlotte, NC | 06/11/2019 | 01/17/2020 | 04/23/2020 | Kalos Capital Incorporated | ISC | Steven Andrew Greer | FA Expungement LLC | NO | NO | 1 | G | Steven Andrew Greer | | Richard James Igou | 2 |
| 19-01651 | Los Angeles, CA | 06/11/2019 | 07/30/2019 | 08/14/2019 | Cambridge Investment Research Incorporated | ISC | Bryan Michael Stebel | Freeman Mathis & Gary | NO | NO | 1 | G | Bryan Michael Stebel | | Mary M. O'Neil | 1 |
| 19-01656 | San Juan, PR | 06/12/2019 | 11/05/2019 | 11/18/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | David L. Rojas | Toro Colon Mullet PSC | NO | NO | 1 | G | David L. Rojas | | Martin A. Feigenbaum, Esq. | 1 |
| 19-01658 | Birmingham, AL | 06/12/2019 | 04/20/2020 | 06/11/2020 | Raymond James & Associates Incorporated | ISC | Karen Lynn Gallahar | Bressler Amery & Ross | NO | NO | 23 | G | Karen Lynn Gallahar | | Michael J. Ahlstrom, Esq. | 2 |
| 19-01659 | Birmingham, AL | 06/12/2019 | 02/25/2020 | 03/20/2020 | Raymond James & Associates Incorporated | ISC | David Ray Gallahar | Bressler Amery & Ross | NO | NO/NN | 19 | G | David Ray Gallahar | | Harvey R. Linder, Esq. | 1 |
| 19-01666 | San Juan, PR | 06/12/2019 | 11/19/2019 | 11/22/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Jose E. Chaves | Toro Colon Mullet PSC | NO | NO | 1 | G | Jose E. Chaves | | Barth Satuloff, CPA | 1 |
| 19-01667 | New York, NY | 06/13/2019 | 02/11/2020 | 02/13/2020 | Morgan Stanley | ISC | Ken Kavanagh | AdvisorLaw LLC | NO | NO | 1 | G | Ken Kavanagh | | Michael H. DuBoff, Esq. | 1 |
| 19-01676 | Little Rock, AR | 06/13/2019 | 02/04/2020 | 02/19/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Pamela R. Raben; Brent Taylor Henry; Dustin Clay Colebank | AdvisorLaw LLC | NO | OB/NO | 4 | G | Pamela R. Raben; Brent Taylor Henry; Dustin Clay Colebank | | Lynne M. Gomez, Esq. | 1 |
| 19-01677 | Los Angeles, CA | 06/13/2019 | 12/04/2019 | 12/18/2019 | Money Concepts Capital Corporation | Akerman LLP | Alan Jerome Schryer | HLBS Law | NO | OB/NO | 2 | G | Alan Jerome Schryer | | Milton N. Gross | 1 |
| 19-01681 | New York, NY | 06/14/2019 | 09/12/2019 | 10/18/2019 | UBS Financial Services Incorporated | ISC | Benjamin Stephen Sax | Bressler Amery & Ross | NO | NO | 2 | G | Benjamin Stephen Sax | | Robert J. Kheel, Esq. | 1 |
| 19-01682 | Pittsburgh, PA | 06/14/2019 | 12/18/2019 | 01/13/2020 | HD Vest Investment Services | ISC | Paul Samuel Carpenter | AdvisorLaw LLC | NO | OB | 1 | G | Paul Samuel Carpenter | | Catherine Stewart, Esq. | 1 |
| 19-01688 | Denver, CO | 06/14/2019 | 12/16/2019 | 02/28/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Steven Philip Southworth | HLBS Law | NO | NO | 1 | G | Steven Philip Southworth | | Frances Johnson-Wright, Esq. | 2 |
| 19-01704 | New York, NY | 06/17/2019 | 11/25/2019 | 01/06/2020 | Wilmington Capital Securities LLC | Lawrence R. Gelber, Attorney-at-Law | Shi Zhou | Kaufmann Gildin & Robbins | OB | NO | 1 | G | Shi Zhou | | Michael S. Lazan, Esq. | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|------------------------|---------------------------------------|----------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-01720 | Los Angeles, CA | 06/18/2019 | 02/27/2020 | 03/13/2020 | AGP/Alliance Global Partners | No-show | Matt Ward | Kalberer LLP | NO | UN | 1 | D | | Matt Ward | Joyce L. Hurley | 1 |
| 19-01721 | Chicago, IL | 06/18/2019 | 01/10/2020 | 01/16/2020 | Wells Fargo Clearing Services LLC | ISC | Paul Burdette Reider | David A. Genelly Limited | NO | NO-D | 1 | G | Paul Burdette Reider | | Susan L. Walker, Esq. | 1 |
| 19-01741 | Minneapolis, MN | 06/19/2019 | 12/17/2019 | 01/15/2020 | Edward D Jones & Company Limited Partnership | ISC | Natalie Ann Brinkman | Heley Duncan et al. | NO | NO | 1 | G | Natalie Ann Brinkman | | Susan L. Walker, Esq. | 1 |
| 19-01756 | Baltimore, MD | 06/20/2019 | 01/07/2020 | 01/29/2020 | SunTrust Investment Services Incorporated | Williams & Connolly | Steven Michael Goldberg | Herskovits PLLC | NO | OB/NO | 4 | G | Steven Michael Goldberg | | Steven Irving Platt | 1 |
| 19-01784 | San Juan, PR | 06/21/2019 | 11/14/2019 | 11/20/2019 | UBS Financial Services Incorporated | McConnell Valdes LLC | Casto Miguel Coll Del Rio | Toro Colon Mullet PSC | NO | NO | 1 | G | Casto Miguel Coll Del Rio | | Nancy J. Cliff, Esq. | 1 |
| 19-01790 | Dallas, TX | 06/24/2019 | 02/20/2019 | 03/03/2020 | BBVA Securities Incorporated | Balch & Bingham | Careena Patel | AdvisorLaw LLC | NO | NO | 1 | G | Careena Patel | | Frances Johnson-Wright, Esq. | 1 |
| 19-01804 | Kansas City, MO | 06/25/2019 | 01/28/2020 | 03/13/2020 | DH Hill Securities LLP | Markun Zusman et al. | Todd Franklin Gregory | Ulmer & Berne | NO | NO/NN | 3 | G | Todd Franklin Gregory | | Susan L. Walker, Esq. | 1 |
| 19-01806 | New York, NY | 06/25/2019 | 01/07/2020 | 03/06/2020 | Cowen & Company | ISC | Steven Philip Southworth | HLBS Law | NO | NO-D | 5 | G/D | Steven Philip Southworth | | Ellyn S. Roth | 3 |
| 19-01808 | Detroit, MI | 06/25/2019 | 01/21/2020 | 01/28/2020 | UBS Financial Services Incorporated | No-show | Steven Michael Gretchko | HLBS Law | NO | NO | 1 | G | Steven Michael Gretchko | | Terrance J. Dorcy | 1 |
| 19-01831 | Los Angeles, CA | 06/27/2019 | 01/16/2020 | 02/04/2020 | RBC Capital Markets LLC | Dorsey & Whitney | Mark William Lininger | HLBS Law | NO | NO | 1 | G | Mark William Lininger | | Morris S. Getzels, Esq. | 1 |
| 19-01832 | Dallas, TX | 06/27/2019 | 12/17/2019 | 01/09/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Jean Ann Fisher | AdvisorLaw LLC | NO | NO/NN | 2 | G | Jean Ann Fisher | | David A. Schuler | 1 |
| 19-01835 | Philadelphia, PA | 06/27/2019 | 01/07/2020 | 01/14/2020 | SA Stone Wealth Management Incorporated | ISC | Richard Michael Wesselt | AdvisorLaw LLC | NO | NO | 1 | G | Richard Michael Wesselt | | Julie K. Chapin | 1 |
| 19-01848 | San Francisco, CA | 06/28/2019 | 01/09/2020 | 02/14/2020 | Banc of America Investment Services Incorporated | Bressler Amery & Ross | Demian Marc Fitzgerald | AdvisorLaw LLC | NO | NO/NN | 2 | G | Demian Marc Fitzgerald | | Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) | 1 |
| 19-01853 | Newark, NJ | 07/01/2019 | 01/21/2020 | 01/28/2020 | Banc of America Investment Services Incorporated | Bressler Amery & Ross | Gary Christopher Ribe | AdvisorLaw LLC | NO | NO | 1 | G | Gary Christopher Ribe | | Joan M. Traub, Esq. | 1 |
| 19-01864 | Wilmington, DE | 07/02/2019 | 02/19/2020 | 02/27/2020 | Lincoln Financial Advisors Corporation | ISC | Nick Harris Meyers; Philip Ross Stern | Saretsky Hart et al. | NO | OB | 2 | G | Nick Harris Meyers; Philip Ross Stern | | James W. (Jim) Geiger | 2 |
| 19-01876 | Dallas, TX | 07/03/2019 | 02/18/2020 | 03/18/2020 | Woodbury Financial Services Incorporated | ISC | Michael David Kolacz | The Dale Law Firm | NO | NO | 1 | G | Michael David Kolacz | | Nicole T. LeBoeuf, Esq. | 1 |
| 19-01880 | Newark, NJ | 07/03/2019 | 07/07/2020 | 07/24/2020 | Morgan Stanley Smith Barney | ISC | Matthew Farley Lane | Giordano Halleran & Ciesla | NO | NO | 1 | G | Matthew Farley Lane | | Robert E. Anderson, Esq. - Chair; Jay Alan Kranis; Richard Gaspere Dragotta | 1 |
| 19-01905 | Richmond, VA | 07/09/2019 | 01/23/2020 | 02/13/2020 | SunTrust Investment Services Incorporated | Gray Robinson PA | Jaret Clinton Mutter | AdvisorLaw LLC | NO | NO/NN | 1 | G | Jaret Clinton Mutter | | James W. (Jim) Geiger | 1 |
| 19-01911 | Atlanta, GA | 07/09/2019 | 02/18/2020 | 03/04/2020 | SunTrust Investment Services Incorporated | Gray Robinson PA | Michael Shane Godbee | None | NO | NO | 1 | G | Michael Shane Godbee | | Cassandra Kimberly Ward, Esq. (fka Cassandra Kimberly Ward-Brown, Esq.) Chair; Jeffrey Alperin; Jack Walsh | 1 |

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|--------------------------|-----------------|-------------|--------------------|--------------|---|--------------------------------------|----------------------------|---|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-01917 | Boca Raton, FL | 07/10/2019 | 02/20/2020 | 03/09/2020 | Questar Capital Corporation | Wland Guerra King PA | William Alan Gruntler | HLBS Law | NO | NO | 2 | G/D | William Alan Gruntler | | Gerald Silverman, Esq. | 1 |
| 19-01922 | Portland, OR | 07/11/2019 | 04/02/2020 | 04/17/2020 | Edward D Jones & Company Limited Partnership | ISC | Benjamin Alfred Lanphar | Gregory B. Simon Law LLC | NO | NO | 2 | G | Benjamin Alfred Lanphar | | David William Hickman, JD | 1 |
| 19-01937 | Charlotte, NC | 07/12/2019 | 03/03/2020 | 06/22/2020 | Commonwealth Financial Network | No-show | Suzanne Ross Street Banzet | Fitzgerald Litigation | NO | NO | 5 | G | Suzanne Ross Street Banzet | | Mary E. Woytek, Esq. - Chair; Marie Paulette Levine; Stephen Edwin Anderson | 1 |
| 19-01944 | Boston, MA | 07/15/2019 | 01/24/2020 | 04/02/2020 | MML Investors Services LLC | Stevens & Lee | Gregory Jude Pinto | Wolper Law Firm PA | NO | NO | 1 | G | Gregory Jude Pinto | | John Francis Markuns | 2 |
| 19-01962 | Kansas City, MO | 07/16/2019 | 02/06/2020 | 02/18/2020 | Berthel Fisher & Company Financial Services Incorporated; Cetera Advisors LLC | ISC | Jahanguir "John" Azodi | FA Expungement LLC | NO | OB/NO | 4 | G | Jahanguir "John" Azodi | | John R. Loss, Esq. | 1 |
| 19-01978 | Honolulu, HI | 07/17/2019 | 01/07/2020 | 02/04/2020 | Parkland Securities LLC; H. Beck Incorporated | ISC (PS); , D'Amura & Zaidman (HB) | Jeffrey David Buck | HLBS Law | OB/NO | NO | 3 | G | Jeffrey David Buck | | Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) | 1 |
| 19-01987 | New York, NY | 07/17/2019 | 12/11/2019 | 12/20/2019 | RBC Capital Markets LLC | Dorsey & Whitney | David McIlroy | KW Law Group LLC | NO | NO | 1 | G | David McIlroy | | Gerald M. Levine | 1 |
| 19-01996 | Boca Raton, FL | 07/17/2019 | 01/29/2020 | 02/14/2020 | Wells Fargo Advisors Financial Network LLC | ISC | Mary-Lee Widder | HLBS Law | NO | NO | 1 | G | Mary-Lee Widder | | Elena G. Rodriguez | 1 |
| 19-02017 | Phoenix, AZ | 07/22/2019 | 01/28/2020 | 02/14/2020 | Voya Financial Advisors Incorporated | Winget Spadafora & Schwartzberg | Brent Stanley Pine | Wolper Law Firm PA | NO | NO | 1 | G | Brent Stanley Pine | | Roger A. Geddes | 1 |
| 19-02021 | Wilmington, DE | 07/22/2019 | 03/25/2020 | 06/18/2020 | Capital Financial Services Incorporated | Corporate Legal LLC | Kevin Michael Fox | AdvisorLaw LLC | NO | NO/NN | 2 | G | Kevin Michael Fox | | Patrick Richard Westerkamp, Esq. | 1 |
| 19-02035 | Atlanta, GA | 07/23/2019 | 12/03/2019 | 12/18/2019 | Transamerica Financial Advisors Incorporated | ISC | Thomas Richard Mathews Jr. | Ulmer & Berne; The Jade Law Offices of Kim Scouller | NO | OB | 1 | G | Thomas Richard Mathews Jr. | | James C. Hoover, Esq. | 1 |
| 19-02036 | Atlanta, GA | 07/23/2019 | 12/17/2019 | 01/09/2020 | Citigroup Global Markets Incorporated | ISC | Michael Jay Grace | Bressler Amery & Ross | NO | NO/NN | 29 | G | Michael Jay Grace | | Harvey R. Linder, Esq. | 1 |
| 19-02037 | Phoenix, AZ | 07/24/2019 | 03/04/2020 | 03/23/2020 | National Planning Corporation; SunAmerica Securities Incorporated | ISC (SAS); Saretsky Hart et al. (NP) | James Harman Bishopp | AdvisorLaw LLC | NO | NO-D | 2 | G | James Harman Bishopp | | Walter Steven Schwartz | 1 |
| 19-02043 | New York, NY | 07/24/2019 | 12/18/2019 | 01/03/2020 | Oppenheimer & Company Incorporated | ISC | Mitchell Ian Hassenbein | Phillipson & Uretsky | NO | NO | 1 | G | Mitchell Ian Hassenbein | | Michele S. Riley | 1 |
| 19-02046 | Los Angeles, CA | 07/24/2019 | 03/24/2020 | 03/26/2020 | Centaurus Financial Incorporated | ISC | Troy Nicholas Tremblay | Keesal Young & Logan | NO | NO | 2 | G | Troy Nicholas Tremblay | | Joyce L. Hurley | 1 |
| 19-02060 | New York, NY | 07/25/2019 | 03/10/2020 | 03/27/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Joseph James Guarneri | Law Offices of Patrick R. Mahoney PC | NO | NO | 1 | G | Joseph James Guarneri | | Annamaria Bocchia-Smith, Esq. (fka Annamaria Bocchia-Kovarcik, Esq.) | 1 |
| 19-02061 | New York, NY | 07/25/2019 | 03/03/2020 | 03/09/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Joseph James Guarneri | Law Offices of Patrick R. Mahoney PC | NO | NO | 1 | G | Joseph James Guarneri | | Sandra J. Mullings, Esq. | 1 |

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|--------------------------|------------------|-------------|--------------------|--------------|--|------------------------|--------------------------------------|--------------------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-02062 | New York, NY | 07/25/2019 | 02/24/2020 | 03/04/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Joseph James Guarneri | Law Offices of Patrick R. Mahoney PC | NO | NO | 1 | G | Joseph James Guarneri | | Madelon M. Rosenfeld, Esq. | 1 |
| 19-02063 | Newark, NJ | 07/26/2019 | 05/13/2020 | 06/29/2020 | LPL Financial LLC | ISC | Peter Neuberg | Hamburger Law Firm LLC | NO | OB/NO | 2 | G/D | Peter Neuberg | | Jay Alan Kranis - Chair; Bryan David Glass; Ron Greenfield | 2 |
| 19-02064 | Columbia, SC | 07/25/2019 | 01/07/2020 | 02/10/2020 | Edward D Jones & Company Limited Partnership | ISC | Paul Michael Baily | Ghabai Law Group LLC | NO | NO | 1 | G | Paul Michael Baily | | Richard S. Zaifert, Esq. | 1 |
| 19-02072 | Hartford, CT | 07/26/2019 | 06/03/2020 | 06/10/2020 | MML Investors Services LLC | Stevens & Lee | Justin T Podielski; Xochil A. Rivera | O'Connell Attmore & Morris | NO | NO | 2 | G | Justin T Podielski; Xochil A. Rivera | | Mark Stuart Gurevitz - Chair; Samuel Harrison Chorches, Esq.; Dale S. Cronnell, CFP | 1 |
| 19-02073 | New York, NY | 07/26/2019 | 01/09/2020 | 01/13/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Paul David Campbell | , Law Offices of Janet K. DeCosta | NO | NO | 2 | G | Paul David Campbell | | Gerald M. Levine | 1 |
| 19-02074 | Boston, MA | 07/27/2019 | 02/11/2020 | 03/16/2020 | Wells Fargo Clearing Services LLC | ISC | Lawrence Eppolito | Wolper Law Firm PA | NO | NO | 1 | G | Lawrence Eppolito | | Denise L. Presley, Esq. | 1 |
| 19-02077 | St. Louis, MO | 07/29/2019 | 01/28/2020 | 02/07/2020 | Securities Service Network LLC | ISC | Michael Edward O'Reilly | AdvisorLaw LLC | NO | UN | 2 | D | | Michael Edward O'Reilly | Michael S. Matek, Esq. | 1 |
| 19-02083 | New York, NY | 07/29/2019 | 02/21/2020 | 02/26/2020 | David Lerner Associates Incorporated | ISC | Timothy J. Cheriaparampil | Stevens & Lee | NO | OB | 1 | G | Timothy J. Cheriaparampil | | Anna Lascar - Chair; Andrew Morganstern; Ronald Jay Horowitz | 1 |
| 19-02086 | Louisville, KY | 07/29/2019 | 01/14/2020 | 01/17/2020 | Morgan Keegan & Company LLC | ISC | Charles Mercer | FA Expungement LLC | NO | NO | 3 | G | Charles Mercer | | Mark Alexander Sipper | 1 |
| 19-02124 | Philadelphia, PA | 07/31/2019 | 01/31/2020 | 02/07/2020 | The Investment Center Incorporated | ISC | Marc Stuart Goldberg | Winget Spadafora & Schwartzberg | NO | NO | 1 | G | Marc Stuart Goldberg | | Thomas Benjamin Salzer, Esq. - Chair; Timothy Towles Stevens; Glenn J. Hansen, CFP | 1 |
| 19-02157 | New York, NY | 08/01/2019 | 12/09/2019 | 01/06/2020 | Fidelity Brokerage Services LLC | ISC | Charles Chan | Bressler Amery & Ross | NO | NO | 1 | G | Charles Chan | | Patricia Kathleen Costello | 1 |
| 19-02159 | Newark, NJ | 08/01/2019 | 01/08/2020 | 01/28/2020 | HD Vest Investment Services | ISC | Edward Joseph Ryan Jr. | AdvisorLaw LLC | NO | OB/NO | 2 | G/D | Edward Joseph Ryan Jr. | | Louis H. Miron, Esq. | 1 |
| 19-02168 | Nashville, TN | 08/02/2019 | 01/09/2020 | 01/30/2020 | Wiley Bros-Aintree Capital LLC | ISC | Paul Christian Allen | Holcomb & Ward | NO | NO-D | 1 | G | Paul Christian Allen | | Harvey R. Linder, Esq. | 1 |
| 19-02183 | New York, NY | 08/05/2019 | 01/13/2020 | 01/21/2020 | Wells Fargo Advisors Financial Network | Drinker Biddle & Reath | Mikhail Filshinskiy | Winget Spadafora & Schwartzberg | NO | NO | 1 | G | Mikhail Filshinskiy | | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 19-02185 | Manchester, NH | 08/05/2019 | 01/13/2020 | 01/16/2020 | Fidelity Brokerage Services LLC | ISC | Martin John Cunningham | AdvisorLaw LLC | NO | NN | 1 | G | Martin John Cunningham | | John James McGovern, Jr., Esq. | 1 |
| 19-02186 | New York, NY | 08/05/2019 | 02/18/2020 | 04/01/2020 | Windsor Street Capital Limited Partnership | No-show | Nas Adel Allan | AdvisorLaw LLC | NO | UN | 2 | D | | Nas Adel Allan | Brian John Gallagher | 1 |
| 19-02190 | Birmingham, AL | 08/05/2019 | 02/25/2020 | 03/18/2020 | Triad Advisors LLC | ISC | Christopher Todd Holder | HLBS Law | NO | NO | 1 | G | Christopher Todd Holder | | Frances Johnson-Wright, Esq. | 1 |
| 19-02191 | Los Angeles, CA | 08/05/2019 | 02/19/2020 | 03/16/2020 | Wells Fargo Investments LLC | ISC | David Christopher Sipe | HLBS Law | NO | NO | 1 | G | David Christopher Sipe | | Benjamin F. Breslauer | 1 |

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|--------------------------|-----------------|-------------|--------------------|--------------|---|---|--------------------------------|---------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-02195 | Newark, NJ | 08/05/2019 | 05/22/2020 | 06/23/2020 | Morgan Stanley; UBS Financial Services Incorporated | ISC | Ralph Brian Marra | Kaufman Dolowich & Voluck | NO | NO/NN | 5 | G | Ralph Brian Marra | | Michael H. DuBoff, Esq. | 1 |
| 19-02211 | Baltimore, MD | 08/07/2019 | 03/02/2020 | 03/06/2020 | Sanders Morris Harris LLC | ISC | Edward William Henry Kissinger | Offit Kurman PA | NO | NO | 1 | G | Edward William Henry Kissinger | | Catherine Esther Bocskor | 1 |
| 19-02217 | Portland, OR | 08/07/2019 | 02/25/2020 | 03/13/2020 | Private Consulting Group Incorporated | No-show | Michael Stephen Myers | AdvisorLaw LLC | NO | OB/NO | 2 | D | | Michael Stephen Myers | James John Jurinski, JD | 1 |
| 19-02223 | Manchester, NH | 08/07/2019 | 02/18/2020 | 02/24/2020 | MML Investors Services LLC | Stevens & Lee | Andrew Marvin Rocco | Wolper Law Firm PA | NO | NO | 2 | G | Andrew Marvin Rocco | | Samuel Harrison Chorches, Esq. | 1 |
| 19-02228 | New York, NY | 08/07/2019 | 02/13/2020 | 03/31/2020 | National Securities Corporation | ISC | Mark Sam Kolta | FA Expungement LLC | NO | NO | 3 | G | Mark Sam Kolta | | Robert E. Anderson, Esq. | 1 |
| 19-02230 | Phoenix, AZ | 08/07/2019 | 02/25/2020 | 03/26/2020 | MSI Financial Services Incorporated | Harris & Affiliates Ltd. | Wayne David Kandas | AdvisorLaw LLC | NO | NO | 7 | G | Wayne David Kandas | | Walter Steven Schwartz | 1 |
| 19-02247 | New York, NY | 08/08/2019 | 02/25/2020 | 03/23/2020 | Laidlaw & Company (UK) Limited; Sands Brothers & Company Limited | ISC | Craig Aaron Bonn | FA Expungement LLC | NO | NO | 2 | G | Craig Aaron Bonn | | Jill Pilgrim, Esq. | 1 |
| 19-02248 | Boston, MA | 08/08/2019 | 02/27/2020 | 03/06/2020 | Ameriprise Financial Services Incorporated | ISC | Michael Scott | Ghabai Law Group LLC | NO | NO | 1 | G | Michael Scott | | Gene M. Bauer, Esq. | 1 |
| 19-02251 | Phoenix, AZ | 08/08/2019 | 03/16/2020 | 03/17/2020 | Sagepoint Financial Incorporated | ISC | Keith Paul DeGreen | Tiffany & Bosco | NO | NO | 3 | G | Keith Paul DeGreen | | Renee Bryna Gerstman - Chair; Kenneth Layne Morrill; James M. Gerber | 1 |
| 19-02262 | Baltimore, MD | 08/12/2019 | 03/23/2020 | 03/27/2020 | PNC Investments | Seyfarth Shaw LLP | Shaun Michael Blakeslee | AdvisorLaw LLC | NO | NO | 1 | G | Shaun Michael Blakeslee | | Jane Kwok Ping Tam | 1 |
| 19-02275 | Los Angeles, CA | 08/12/2019 | 02/27/2020 | 03/13/2020 | Chase Investment Services Corporation | Duane Morris LLP | David Christopher Sipe | HLBS Law | NO | NO-D | 1 | G | David Christopher Sipe | | Kirtley M. Thiesmeyer, Esq. | 1 |
| 19-02286 | Charlotte, NC | 08/13/2019 | 03/05/2020 | 03/20/2020 | HD Vest Investment Services | ISC | Dorothy H. Yandle | FA Expungement LLC | NO | OB | 1 | G | Dorothy H. Yandle | | Leonard E. Benade, PhD | 1 |
| 19-02291 | Minneapolis, MN | 08/14/2019 | 02/18/2020 | 03/23/2020 | Securities America Incorporated | ISC | Tiow Keng Chan | FA Expungement LLC | NO | NO | 1 | G | Tiow Keng Chan | | Phyllis Karasov, Esq. | 2 |
| 19-02294 | Wilmington, DE | 08/14/2019 | 02/27/2020 | 03/25/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Richard Joseph Conway | FA Expungement LLC | NO | NO | 2 | G | Richard Joseph Conway | | Robert E. Anderson, Esq. | 1 |
| 19-02297 | Milwaukee, WI | 08/14/2019 | 03/19/2020 | 03/30/2020 | BC Ziegler & Company | Quarles & Brady | Michael Alan Kramer | AdvisorLaw LLC | NO | NO | 4 | G | Michael Alan Kramer | | Leon Fox, JD | 1 |
| 19-02315 | Newark, NJ | 08/15/2019 | 03/24/2020 | 06/12/2020 | Citigroup Global Markets Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated | Kauff Laton Miller LLP (CGM); Bressler Amery & Ross (MLPFS) | Stephen P. O'Donnell, Sr. | AdvisorLaw LLC | NO | OB | 1 | G | Stephen P. O'Donnell, Sr. | | Robert E. Anderson, Esq. | 2 |
| 19-02320 | San Juan, PR | 08/15/2019 | 01/22/2020 | 01/29/2020 | UBS Financial Services Incorporated | McConnell Valdes LLC | Angel Manuel Canabal | Toro Colon Mullet PSC | NO | NO | 1 | G | Angel Manuel Canabal | | Martin A. Feigenbaum, Esq. | 1 |

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|--------------------------|------------------|-------------|--------------------|--------------|---|------------------------|---------------------------|--------------------------|----------------|-----------------|---------------------|------------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Requests | Results of Expungement | | | | |
| 19-02324 | Jacksonville, FL | 08/16/2019 | 03/10/2020 | 03/23/2020 | UBS Financial Services Incorporated | ISC | David James Vigil | HLBS Law | NO | NO | 2 | G | David James Vigil | | Brian Michael Kane | 1 |
| 19-02325 | Jacksonville, FL | 08/16/2019 | 02/13/2020 | 03/21/2020 | Morgan Stanley | ISC | David James Vigil | HLBS Law | NO | NO/NN | 1 | G | David James Vigil | | Karl A. Vogeler, III | 1 |
| 19-02336 | Birmingham, AL | 08/16/2019 | 02/18/2020 | 03/03/2020 | Raymond James & Associates Incorporated | ISC | David Henderson Anthony | Bressler Amery & Ross | NO | NO/NN | 2 | G | David Henderson Anthony | | G. Maynard Green, JD | 1 |
| 19-02337 | Atlanta, GA | 08/16/2019 | 02/04/2020 | 02/18/2020 | LPL Financial LLC | ISC | Joy Katina Hurst | Ghabai Law Group LLC | NO | OB | 1 | G | Joy Katina Hurst | | Harvey R. Linder, Esq. | 1 |
| 19-02341 | Boca Raton, FL | 08/15/2019 | 02/18/2020 | 02/27/2020 | NatCity Investments Incorporated et al. | Seyfarth Shaw LLP | Michael H. Gross | None | NO | NO | 1 | G | Michael H. Gross | | Thomas W. Allen - Chair; Peter Susser; Bart Samuel Cohodas | 1 |
| 19-02348 | San Juan, PR | 08/16/2019 | 02/25/2019 | 03/05/2020 | UBS Financial Services Incorporated | McConnell Valdes LLC | Francisco Javier Landivar | Toro Colon Mullet PSC | NO | NO | 2 | G | Francisco Javier Landivar | | Nancy J. Cliff, Esq. | 1 |
| 19-02353 | San Juan, PR | 08/16/2019 | 02/04/2020 | 02/14/2020 | UBS Financial Services Incorporated | McConnell Valdes LLC | Edgardo H. Ferrer | Toro Colon Mullet PSC | NO | NO | 1 | G | Edgardo H. Ferrer | | Louis David Huss | 1 |
| 19-02390 | Tampa, FL | 08/20/2019 | 03/23/2020 | 04/14/2020 | LPL Financial LLC | ISC | Shon Edward Flaharty | HLBS Law | NO | NO | 1 | G | Shon Edward Flaharty | | John P. Cullem, Esq. | 1 |
| 19-02391 | Chicago, IL | 08/23/2019 | 03/19/2020 | 03/23/2020 | Money Concepts Capital Corporation | ISC | Roch Richard Tranel | Akerman LLP | NO | NN | 1 | G | Roch Richard Tranel | | Mark L. Miller, Esq. | 1 |
| 19-02399 | New York, NY | 09/26/2019 | 06/12/2020 | 06/26/2020 | Customers only | Customer | Stephen John Caruso | Malecki Law | NO | NO | 1 | G | Stephen John Caruso | | Howard L. Sobel - Chair; Harvey Barrison, Esq.; Shelley Teitelbaum Esq. | 1 |
| 19-02400 | Los Angeles, CA | 08/20/2019 | 01/22/2020 | 03/16/2020 | Stifel Nicolaus & Company Incorporated | No-show | Timothy Charles Metcalf | Gordon Rees et al. | NO | NO | 1 | G | Timothy Charles Metcalf | | Mary M. O'Neil | 1 |
| 19-02414 | New York, NY | 08/21/2019 | 03/03/2020 | 03/11/2020 | National Securities Corporation | ISC | Mark Angelo Gassoso | FA Expungement LLC | NO | NO | 3 | G | Mark Angelo Gassoso | | Howard L. Sobel | 1 |
| 19-02436 | Tampa, FL | 08/22/2019 | 01/14/2020 | 01/30/2020 | Wells Fargo Clearing Services LLC | ISC | Christopher Robert Roman | Akerman LLP | NO | NO | 1 | G | Christopher Robert Roman | | Maurice M. Feller, Esq. | 1 |
| 19-02515 | Seattle, WA | 08/23/2019 | 05/05/2020 | 05/27/2020 | Edward D Jones & Company Limited Partnership | ISC | Heather Alleyn Lewis | McDougald Law Group P.S. | NO | OB/NO | 2 | G | Heather Alleyn Lewis | | Joseph C. Roberts, Esq. - Chair; Kenneth James Pedersen; Robert E. Meston | 1 |
| 19-02546 | Atlanta, GA | 08/26/2019 | 03/19/2020 | 03/26/2020 | Edward D Jones & Company Limited Partnership; Wells Fargo Clearing Services LLC | ISC | Scott Alan Tittle | Kalberer LLP | NO | NO/NN | 7 | G | Scott Alan Tittle | | James C. Hoover, Esq. | 1 |
| 19-02547 | Charlotte, NC | 08/26/2019 | 02/18/2020 | 03/02/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Steven Bonetto | Baritz & Colman | NO | OB | 1 | G | Steven Bonetto | | Douglas Earl McLaren, Esq. | 1 |
| 19-02551 | Boca Raton, FL | 08/26/2019 | 03/18/2020 | 04/08/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Kirk L. Gravelle | Stein & Stein | NO | NN | 1 | G | Kirk L. Gravelle | | Seth L. Finkel, Esq. - Chair; Rosemarie Ann Jannuzzi, Esq.; Gregory S. Tendrich, Esq. | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|--|---|---------------------------------|----------------|-----------------|-----------------|---------------|---|----------------------------|--|------------|
| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 19-02555 | Boca Raton, FL | 08/26/2019 | 05/22/2020 | 06/01/2020 | Citigroup Global Markets Incorporated); Wells Fargo Advisors Financial Network LLC | Kauff Laton Miller LLP (CGM); ISC (WFAN) | Michael Joseph Cowan | HLBS Law | NO | NO | 2 | G/D | Michael Joseph Cowan | | Leslie L. Cooney, Esq. | 1 |
| 19-02570 | Louisville, KY | 08/27/2019 | 02/19/2020 | 02/26/2020 | JJB Hilliard and WL Lyons LLC | Bressler Amery & Ross | S. Andrew Baird | Gess Mattingly & Atchison | NO | NO | 2 | G | S. Andrew Baird | | Gregory Hunter Mathews | 1 |
| 19-02585 | Chicago, IL | 08/28/2019 | 04/01/2020 | 04/09/2020 | Prudential Equity Group LLC | Paduano & Weintraub | William Laheta | Lewitas Hyman P.C. | NO | NO | 2 | G | William Laheta | | Thomas F. Mahoney, Esq. | 1 |
| 19-02593 | Charlotte, NC | 08/28/2019 | 05/05/2020 | 07/07/2020 | Wells Fargo Advisors Financial Network | ISC | Stephen Linden Thomas | FA Expungement LLC | NO | NO | 1 | D | | Stephen Linden Thomas | Joyce A. Mitchell, Esq. | 1 |
| 19-02594 | Los Angeles, CA | 08/28/2019 | 06/10/2020 | 06/30/2020 | LPL Financial LLC | ISC | Ross Robert Pake | FA Expungement LLC | NO | NO | 2 | G | Ross Robert Pake | | Barbara M. Zak, Esq. | 1 |
| 19-02595 | San Francisco, CA | 08/28/2019 | 05/08/2020 | 07/02/2020 | Wells Fargo Clearing Services LLC | ISC | John Kurt Baughman | FA Expungement LLC | NO | NO | 1 | G | John Kurt Baughman | | Philip Aaron Tymon, JD | 1 |
| 19-02597 | New York, NY | 08/28/2019 | 03/10/2020 | 04/02/2020 | Chase Investment Services Corporation | Duane Morris LLP | Ryan Ackerhalt | FA Expungement LLC | NO | OB/NO | 3 | G | Ryan Ackerhalt | | Albert Rizzo | 1 |
| 19-02598 | Orlando, FL | 08/28/2019 | 05/08/2020 | 07/23/2020 | Kestra Investment Services LLC | D'Amura & Zaidman | Mitchell Brian Walk | HLBS Law | NO | NO | 5 | D | | Mitchell Brian Walk | Martin M. Van Luven | 3 |
| 19-02601 | Boston, MA | 08/28/2019 | | 01/21/2020 | JP Morgan Securities Incorporated | Ulmer & Berne | Daniel Lawrence Pimental | AdvisorLaw LLC | E | UN | 1 | D | | Daniel Lawrence Pimental | Denise L. Presley, Esq. | 0 |
| 19-02626 | Atlanta, GA | 08/30/2019 | | 02/19/2020 | JP Morgan Securities LLC | Ulmer & Berne | Jack Stephen Cohen | AdvisorLaw LLC | E | UN | 1 | D | | Jack Stephen Cohen | Harvey R. Linder, Esq. | 0 |
| 19-02656 | Boca Raton, FL | 09/02/2019 | 03/12/2020 | 03/24/2020 | National Securities Corporation | ISC | Carter David Mansbach | FA Expungement LLC | NO | NO | 1 | D | | Carter David Mansbach | David P. Slater, Esq. | 1 |
| 19-02657 | New York, NY | 08/29/2019 | 03/27/2020 | 05/27/2020 | VSR Financial Services Incorporated | ISC | Marc Alan Seeherman | Winget Spadafora & Schwartzberg | NO | NO/NN | 1 | G | Marc Alan Seeherman | | Ted M. Rosen, Esq. | 1 |
| 19-02660 | St. Louis, MO | 09/03/2019 | 03/26/2020 | 05/05/2020 | Larson Financial Securities LLC | ISC | Paul Douglas Larson | AdvisorLaw LLC | NO | OB | 1 | D | | Paul Douglas Larson | Michael S. Matek, Esq. | 3 |
| 19-02661 | Chicago, IL | 09/03/2019 | 05/04/2020 | 05/07/2020 | Securities America Incorporated | ISC | Patricia Mary Loris | AdvisorLaw LLC | NO | NO | 1 | G | Patricia Mary Loris | | Donald M. Thompson, Esq. | 1 |
| 19-02682 | Phoenix, AZ | 09/05/2019 | 03/02/2020 | 03/26/2020 | Ameriprise Financial Services Incorporated | ISC | William Patrick O'Connell | AdvisorLaw LLC | NO | NO | 3 | G | William Patrick O'Connell | | Walter Steven Schwartz | 1 |
| 19-02694 | Hartford, CT | 09/06/2019 | 10/28/2019 | 11/06/2019 | UBS Financial Services Incorporated | ISC | Richard Anton Cyphers | Bressler Amery & Ross | NO | NO | 1 | G | Richard Anton Cyphers | | Samuel Harrison Chorches, Esq. | 1 |
| 19-02697 | Columbia, SC | 09/06/2019 | 03/05/2020 | 03/17/2020 | Voya Financial Advisors Incorporated | Winget Spadafora & Schwartzberg | Aaron Justin Gore; Samuel Ray Head; Ronald Franklin Metcalf; David Cameron Monckton | Akerman LLP | NO | OB | 3 | G | Aaron Justin Gore; Samuel Ray Head; Ronald Franklin Metcalf; David Cameron Monckton | | Richard S. Zaifert, Esq. - Chair; Harvey R. Linder, Esq.; Brian Stafford | 1 |

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|--------------------------|-----------------|-------------|--------------------|--------------|--|--------------------------------|---------------------------|---------------------------------|----------------|-----------------|------------------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | No. of Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-02717 | Washington, DC | 09/09/2019 | 04/20/2020 | 06/10/2020 | Prudential Equity Group LLC | Paduano & Weintraub | Scott Shulman | AdvisorLaw LLC | NO | NO/NN | 7 | G/D | Scott Shulman | | Patricia Horan Latham, Esq. | 1 |
| 19-02718 | Pittsburgh, PA | 09/10/2019 | 09/10/2020 | 09/14/2020 | UBS Financial Services Incorporated | ISC | Ahmiel Eliezer Baum | AdvisorLaw LLC | NO | UN | 1 | D | | Ahmiel Eliezer Baum | Patrick Richard Westerkamp, Esq. | 1 |
| 19-02720 | New Orleans, LA | 09/10/2019 | 03/09/2020 | 03/26/2020 | HD Vest Investment Services | ISC | Craig Anthony Cheramie | AdvisorLaw LLC | NO | NO | 1 | G | Craig Anthony Cheramie | | Brian P. Jakes, Sr. | 1 |
| 19-02735 | Boca Raton, FL | 09/11/2019 | 06/17/2020 | 06/30/2020 | United Planners' Financial Services of America | ISC | Aaron Pierce Sevigny | FA Expungement LLC | NO | NO | 1 | G | Aaron Pierce Sevigny | | Robert G. Geeseman, Esq. | 1 |
| 19-02738 | New York, NY | 09/11/2019 | 04/06/2020 | 05/13/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Paula M. Steinberg | AdvisorLaw LLC | NO | NO/NN | 2 | G | Paula M. Steinberg | | Carolyn A. Mann | 1 |
| 19-02739 | New York, NY | 09/11/2019 | 03/30/2020 | 04/08/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Paula M. Steinberg | AdvisorLaw LLC | NO | NO | 1 | G | Paula M. Steinberg | | Michael S. Lazan, Esq. | 1 |
| 19-02740 | Raleigh, NC | 09/11/2019 | 03/03/2020 | 03/17/2020 | LPL Financial LLC; UVEST Financial Services Group Incorporated | ISC (LPL); No-show (UVEST) | Don Michael Rudolph | AdvisorLaw LLC | NO | NO/NN | 1 | G | Don Michael Rudolph | | Harvey R. Linder, Esq. | 1 |
| 19-02747 | Boca Raton, FL | 09/11/2019 | 10/23/2020 | 10/30/2020 | SunTrust Investment Services Incorporated | Gray Robinson Attorneys at Law | Vincent John Luongo | None | NO | NN | 2 | G | Vincent John Luongo | | S. Ronald Daniels - Chair; Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.); Everett Scott Youngberg | 1 |
| 19-02748 | Syracuse, NY | 09/12/2019 | 04/15/2020 | 04/27/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Michael Christopher Hearn | None | NO | NN | 1 | G | Michael Christopher Hearn | | Robert E. Anderson, Esq. - Chair; Richard D. Rosenbloom, Esq.; Francis Xavier Daumen | 1 |
| 19-02762 | Phoenix, AZ | 09/13/2019 | 03/19/2020 | 05/08/2020 | Geneos Wealth Management Incorporated | Kutak Rock LLP | Michael John Osland | AdvisorLaw LLC | NO | OB/NO | 3 | G/D | Michael John Osland | | Jay Lawrence Witkin, Esq. | 2 |
| 19-02764 | Denver, CO | 09/13/2019 | 06/11/2020 | 07/17/2020 | VSR Financial Services Incorporated | ISC | Robert Charles Bragg | HLBS Law | NO | OB/NO | 4 | G/D | Robert Charles Bragg | | Milton N. Gross | 2 |
| 19-02765 | Los Angeles, CA | 09/13/2019 | 04/03/2020 | 04/16/2020 | JP Morgan Securities LLC | ISC | Justin John Pearce | Keesal Young & Logan | NO | NO | 1 | G | Justin John Pearce | | Elliott David Finkel, Esq. | 1 |
| 19-02767 | Houston, TX | 09/16/2019 | 04/15/2020 | 04/17/2020 | Cetera Investment Services LLC | ISC | Bradley Alan Bowman | AdvisorLaw LLC | NO | NO | 1 | G | Bradley Alan Bowman | | Lynne M. Gomez, Esq. | 1 |
| 19-02774 | New York, NY | 09/16/2019 | 02/20/2020 | 02/25/2020 | UBS Financial Services Incorporated | ISC | Robert Scott Gilman | Baritz & Colman | NO | NO | 1 | G | Robert Scott Gilman | | Sandra J. Mullings, Esq. | 1 |
| 19-02781 | Los Angeles, CA | 09/16/2019 | 05/12/2020 | 06/04/2020 | JP Morgan Securities LLC | Satterlee Stephens LLP | Luis-Diego Quiroz | HLBS Law | NO | NO | 1 | G | Luis-Diego Quiroz | | Robert D. Sussin, Esq. | 1 |
| 19-02796 | Boca Raton, FL | 09/16/2019 | 03/11/2020 | 03/24/2020 | Geneos Wealth Management Incorporated | Kutak Rock LLP | Marc Allan Silverman | Winget Spadafora & Schwartzberg | NO | OB | 1 | G | Marc Allan Silverman | | Mark C. Perry, Esq. | 1 |
| 19-02801 | Las Vegas, NV | 09/17/2019 | 05/05/2020 | 05/08/2020 | AG Edwards & Sons Incorporated | ISC | Derek David Rosenberg | AdvisorLaw LLC | NO | NN | 1 | G | Derek David Rosenberg | | Andrew M. Mintzer, CPA | 1 |
| 19-02825 | Las Vegas, NV | 09/19/2019 | 05/28/2020 | 06/10/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Derek David Rosenberg | AdvisorLaw LLC | NO | NO | 1 | G | Derek David Rosenberg | | Kirtley M. Thiesmeyer, Esq. | 1 |
| 19-02830 | Hartford, CT | 09/19/2019 | 03/30/2020 | 04/06/2020 | LPL Financial LLC | ISC | Careena Patel | AdvisorLaw LLC | NO | NO | 1 | G | Careena Patel | | Robert E. Anderson, Esq. | 1 |

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| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 19-02853 | Minneapolis, MN | 09/23/2019 | 09/03/2020 | 09/11/2020 | US Bancorp Investments Incorporated | Dorsey & Whitney | Craig Steven Zeeb | AdvisorLaw LLC | E, OB | UN | 3 | D | | Craig Steven Zeeb | Thomas J. Gmeinder, Esq. | 1 |
| 19-02859 | Tampa, FL | 09/23/2019 | 03/26/2020 | 03/31/2020 | Signator Investors Incorporated | ISC | Kevin Michael Burkart | Wolper Law Firm PA | NO | NO | 1 | G | Kevin Michael Burkart | | John P. Cullem, Esq. | 1 |
| 19-02861 | Boston, MA | 09/23/2019 | 03/31/2020 | 04/03/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Terence Hugh Hunt | AdvisorLaw LLC | NO | NO | 1 | G | Terence Hugh Hunt | | Robert J. Ambrogi, Esq. | 1 |
| 19-02866 | New York, NY | 09/24/2019 | 06/18/2020 | 06/25/2020 | NewBridge Securities Corporation | Kaufman Dolowich & Voluck | Maxim Yutsis | Sallah Astarita & Cox | NO | OB/NO | 2 | G/D | Maxim Yutsis | | Sam Antar, Esq. | 1 |
| 19-02880 | New York, NY | 09/25/2019 | 05/12/2020 | 05/15/2020 | Credit Suisse Securities (USA) LLC | ISC | Glenn Paul Wittpenn | AdvisorLaw LLC | NO | NO | 1 | G | Glenn Paul Wittpenn | | Roger B. Jacobs | 1 |
| 19-02883 | New York, NY | 09/25/2019 | 07/27/2020 | 08/14/2020 | Allied Millennial Partners LLC | ISC | Thomas Edwards Grimm | Weltz Kakos et al. | NO | OB/NO | 3 | G | Thomas Edwards Grimm | | Robert E. Anderson, Esq. | 1 |
| 19-02890 | Phoenix, AZ | 09/26/2019 | 08/31/2020 | 09/17/2020 | UBS Financial Services Incorporated | ISC | Andrew Joel Meyer | AdvisorLaw LLC | NO | NO | 2 | G | Andrew Joel Meyer | | Walter Steven Schwartz | 1 |
| 19-02892 | Chicago, IL | 09/27/2019 | 12/20/2019 | 01/13/2020 | UBS Financial Services Incorporated | ISC | Mark Zaharski | Bressler Amery & Ross | NO | NO | 1 | G | Mark Zaharski | | Leon Fox, JD | 1 |
| 19-02911 | New York, NY | 09/30/2019 | 05/21/2020 | 06/22/2020 | Chase Investment Services Corporation; Gilford Securities Incorporated | Duane Morris LLP (CIS); No-show (GS) | Joseph A. Medina | FA Expungement LLC | NO | NO | 3 | G | Joseph A. Medina | | Susan A. Romano | 1 |
| 19-02937 | Charlotte, NC | 09/30/2019 | 04/27/2020 | 06/12/2020 | USA Financial Securities Corporation; The Investment Center Incorporated | ISC | Gerald Best Hanifan, Jr. | AdvisorLaw LLC | NO | OB/NO | 4 | G/D | Gerald Best Hanifan, Jr. | | Richard E. Miley | 1 |
| 19-02957 | New York, NY | 10/01/2019 | 07/09/2020 | 07/15/2020 | UBS Financial Services Incorporated | ISC | Chuck A. Roberts | AdvisorLaw LLC | NO | NN | 1 | G | Chuck A. Roberts | | Joan M. Traub, Esq. | 1 |
| 19-02958 | New York, NY | 10/01/2019 | 04/27/2020 | 05/26/2020 | M.J. Whitman Incorporated | No-show | Chuck A. Roberts | AdvisorLaw LLC | NO | NO | 1 | G | Chuck A. Roberts | | Alice E. Winkler, Esq. | 1 |
| 19-02959 | New York, NY | 10/01/2019 | 03/04/2020 | 03/25/2020 | CIBC World Markets Corporation | ISC | Chuck A. Roberts | AdvisorLaw LLC | NO | OB | 1 | G | Chuck A. Roberts | | Paul S. Biederman | 1 |
| 19-02961 | New York, NY | 10/01/2019 | 03/30/2019 | 04/09/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Chuck A. Roberts | AdvisorLaw LLC | NO | NO | 3 | G | Chuck A. Roberts | | Madelon M. Rosenfeld, Esq. | 1 |
| 19-02962 | New York, NY | 10/01/2019 | 04/09/2020 | 04/22/2020 | Morgan Stanley Smith Barney LLC | ISC | Chuck A. Roberts | AdvisorLaw LLC | NO | OB | 1 | G | Chuck A. Roberts | | Robert E. Anderson, Esq. | 1 |
| 19-02971 | Oklahoma City, OK | 10/02/2019 | 04/17/2020 | 04/24/2020 | Ameriprise Financial Services Incorporated | ISC | Brandt Thomas Brock | AdvisorLaw LLC | NO | NO | 1 | G | Brandt Thomas Brock | | C. Sumpter Logan | 1 |
| 19-02975 | Milwaukee, WI | 10/03/2019 | 08/19/2020 | 08/27/2020 | UBS Financial Services Incorporated | ISC | Patricia Carlin Anderson | AdvisorLaw LLC | NO | NO | 2 | G | Patricia Carlin Anderson | | Michael F. Jordan, Esq. | 1 |
| 19-02983 | Los Angeles, CA | 10/03/2019 | 06/15/2020 | 07/14/2020 | UBS Financial Services Incorporated | ISC | Robert Anthony Daly | Elkins Kalt et al. | NO | NO | 4 | G | Robert Anthony Daly | | Cherie S. Lewis - Chair; Maureen Weston; Michael Lawrence Chappell | 2 |

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|--------------------------|----------------|-------------|--------------------|--------------|---|--|--------------------------|---------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|----------------------------|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-02995 | New York, NY | 10/04/2019 | 03/26/2020 | 04/03/2020 | JP Morgan Securities LLC | Duane Morris LLP | Baruch Azulay | Kaufmann Gildin & Robbins | NO | NO | 3 | G | Baruch Azulay | | Richard W. Vallario, Esq. | 1 |
| 19-03009 | San Juan, PR | 10/04/2019 | 02/05/2020 | 02/14/2020 | UBS Financial Services Incorporated | McConnell Valdes LLC | Ricardo Eboli-Kodesh | Toro Colon Mullet PSC | NO | NO | 1 | G | Ricardo Eboli-Kodesh | | Christopher J. Klein, Esq. | 1 |
| 19-03019 | New York, NY | 10/07/2019 | 05/12/2020 | 06/08/2020 | National Securities Corporation; Joseph Stevens & Company Incorporated; John Thomas Financial | ISC (NS); No-show (JS&C, JTF) | Felippe Teixeira Alves | FA Expungement LLC | NO | NO | 4 | D | | Felippe Teixeira Alves | William G. Binckes, Esq. | 1 |
| 19-03020 | New York, NY | 10/07/2019 | 04/30/2020 | 05/26/2020 | National Securities Corporation | ISC | Adam Ruben Figueroa | FA Expungement LLC | NO | NO | 2 | G | Adam Ruben Figueroa | | Richard W. Cutler, Esq. | 1 |
| 19-03021 | New York, NY | 10/07/2019 | 06/30/2020 | 07/20/2020 | Trident Partners Limited | ISC | James S. Dolan | Weltz Kakos et al. | NO | NO | 1 | G | James S. Dolan | | Steven C. Kasarda | 1 |
| 19-03022 | New York, NY | 10/08/2019 | 07/14/2020 | 07/24/2020 | JD Nicholas & Associates Incorporated; Aegis Capital Corporation | ISC | Daniel Dvorznak | Weltz Kakos et al. | NO | NO | 2 | G | Daniel Dvorznak | | Howard D. Jacob, Esq. | 1 |
| 19-03029 | New York, NY | 10/08/2018 | 09/30/2020 | 10/28/2020 | JD Nicholas & Associates Incorporated; Trident Partners Limited | No-show | Nicholas George Tsikitas | Weltz Kakos et al. | NO | OB/NO | 7 | G | Nicholas George Tsikitas | | Ellyn S. Roth | 3 |
| 19-03030 | New York, NY | 10/08/2019 | 08/10/2020 | 08/24/2020 | Oppenheimer & Company Incorporated | ISC | Laurence Marc Stanger | Weltz Kakos et al. | NO | OB/NO | 3 | G | Laurence Marc Stanger | | Eric Goldman | 1 |
| 19-03036 | New York, NY | 10/08/2019 | 05/15/2020 | 07/02/2020 | Wells Fargo Advisors Financial Network | Faegre Drinker et al. | Steven Matthew Kavall | Deutsch & Lipne | NO | NO | 1 | G | Steven Matthew Kavall | | Joan M. Traub, Esq. | 1 |
| 19-03038 | New York, NY | 10/08/2019 | 08/25/2020 | 08/26/2020 | Oppenheimer & Company Incorporated; UBS Financial Services Incorporated | ISC | Paul Elias Colchamiro | Weltz Kakos et al. | NO | NO | 2 | G/W | Paul Elias Colchamiro | | Michael H. DuBoff, Esq. | 1 |
| 19-03045 | New York, NY | 10/09/2019 | 05/14/2020 | 06/17/2020 | John Thomas Financial | No-show | Evan S. Taub | FA Expungement LLC | NO | NO | 1 | G | Evan S. Taub | | William E. Nuckel | 1 |
| 19-03053 | Denver, CO | 10/09/2019 | 04/07/2020 | 05/07/2020 | LPL Financial LLC | ISC | Jeffrey Arthur Gore | Ghabai Law Group LLC | NO | NO | 1 | G | Jeffrey Arthur Gore | | Philip J. Glick, Esq. | 2 |
| 19-03059 | Birmingham, AL | 10/10/2019 | 04/22/2020 | 06/01/2020 | Raymond James & Associates Incorporated | ISC | Eugene Temple Millsap | Bressler Amery & Ross | NO | NO | 1 | G | Eugene Temple Millsap | | Brock Bingham Gordon, Sr. | 2 |
| 19-03092 | Tampa, FL | 10/15/2019 | 06/02/2020 | 06/15/2020 | Morgan Stanley | ISC | Stephen Overton | HLBS Law | NO | NO | 1 | G | Stephen Overton | | Martin M. Van Luven | 1 |
| 19-03093 | Baltimore, MD | 10/23/2019 | 08/04/2020 | 08/17/2020 | Citigroup Global Markets Incorporated; Legg Mason Wood Walker Incorporated; Morgan Stanley Smith Barney LLC | Kauff Laton Miller LLP (CGM); No-show (LMWW, MSSB) | Gary Theodore Padussis | Niles Barton & Wilmer | NO | NO/NN | 5 | G/D | Gary Theodore Padussis | | David L. Ruderman, Esq. | 1 |

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|--------------------------|-----------------|-------------|--------------------|--------------|--|-------------------------|--------------------------|-----------------------|----------------|-----------------|------------------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | No. of Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-03100 | Newark, NJ | 10/16/2019 | 03/23/2020 | 04/03/2020 | Hennion & Walsh Incorporated | ISC | William Hennion | ISC | NO | NO | 1 | G | William Hennion | | Robert E. Anderson, Esq. | 1 |
| 19-03102 | Newark, NJ | 10/16/2019 | 03/19/2020 | 04/07/2020 | Wells Fargo Clearing Services LLC | ISC | Nicole McGrouther | Ghabai Law Group LLC | NO | NO | 1 | G | Nicole McGrouther | | Michael H. DuBoff, Esq. | 1 |
| 19-03108 | New York, NY | 10/16/2019 | 06/19/2020 | 08/24/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Alan T. Zee | AdvisorLaw LLC | NO | OB | 1 | G | Alan T. Zee | | Ted M. Rosen, Esq. | 1 |
| 19-03112 | New York, NY | 10/16/2019 | 03/26/2020 | 04/09/2020 | Fidelity Brokerage Services LLC | ISC | Bryan S. Hwang | Bressler Amery & Ross | NO | OB | 1 | G | Bryan S. Hwang | | Richard W. Cutler, Esq. | 1 |
| 19-03113 | Los Angeles, CA | 10/16/2019 | 09/16/2020 | 10/07/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Matthew Todd Yonally | HLBS Law | NO | NO/NN | 1 | G | Matthew Todd Yonally | | Michael D. Harrison, Esq. | 1 |
| 19-03118 | Orlando, FL | 10/17/2019 | 05/14/2020 | 05/20/2020 | Morgan Stanley | ISC | Gregory D. Velho | HLBS Law | NO | NO | 1 | G | Gregory D. Velho | | John P. Cullem, Esq. | 1 |
| 19-03132 | Los Angeles, CA | 10/17/2019 | 04/02/2020 | 04/09/2020 | UBS Financial Services Incorporated | Keesal Young & Logan | Barak Raviv | FA Expungement LLC | NO | NO | 3 | G | Barak Raviv | | Richard Maurice Robinson | 1 |
| 19-03133 | Los Angeles, CA | 10/17/2019 | 05/26/2020 | 05/27/2020 | Raymond James & Associates Incorporated | ISC | Lisa Ann Detanna | RMO LLP | NO | NO | 1 | G | Lisa Ann Detanna | | Robert E. Jenks | 1 |
| 19-03155 | Newark, NJ | 10/21/2019 | 04/27/2020 | 05/19/2020 | Ameriprise Financial Services Incorporated | ISC | Matthew Romolo Rotella | AdvisorLaw LLC | NO | NN | 1 | G | Matthew Romolo Rotella | | Michael H. DuBoff, Esq. | 1 |
| 19-03156 | New York, NY | 10/21/2019 | 06/02/2020 | 06/10/2020 | RBC Capital Markets LLC | Dorsey & Whitney | John Bernard Moran | Offit Kurman | NO | NO | 1 | G | John Bernard Moran | | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 19-03158 | Charleston, WV | 10/22/2019 | 07/01/2020 | 07/17/2020 | Wells Fargo Advisors Financial Network LLC | ISC | Christopher William Hall | AdvisorLaw LLC | NO | OB/NO | 2 | G/D | Christopher William Hall | | Michael J. Ahlstrom, Esq. | 1 |
| 19-03166 | Detroit, MI | 10/22/2019 | 08/13/2020 | 08/21/2020 | Morgan Stanley | ISC | David Michael Himich | HLBS Law | NO | NO | 1 | G | David Michael Himich | | Tracy L. Allen, Esq. | 1 |
| 19-03172 | Los Angeles, CA | 10/22/2019 | 04/23/2020 | 05/04/2020 | Wells Fargo Clearing Services LLC | ISC | Patrick Fernando Infante | AdvisorLaw LLC | NO | NO | 1 | G | Patrick Fernando Infante | | Benjamin F. Breslauer | 1 |
| 19-03182 | New York, NY | 10/23/2019 | 04/13/2020 | 04/30/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Arthur J. Springer | Deutsch & Lipner | NO | NO | 1 | G | Arthur J. Springer | | Richard W. Cutler, Esq. | 1 |
| 19-03183 | Newark, NJ | 10/23/2019 | 03/24/2020 | 04/06/2020 | Hennion & Walsh Incorporated | ISC | Marc S. Strafaci | ISC | NO | NO | 2 | D | | Marc S. Strafaci | Jack Friedman, Esq. | 1 |
| 19-03184 | Las Vegas, NV | 10/23/2019 | 04/08/2020 | 05/01/2020 | Banc of America Investment Services Incorporated | Bressler Amery & Ross | David Marcus Winchell | AdvisorLaw LLC | NO | NO | 1 | G | David Marcus Winchell | | Mary M. O'Neil | 1 |
| 19-03186 | Tampa, FL | 10/23/2019 | 04/08/2020 | 04/15/2020 | Trustmont Financial Group Incorporated; Centaurus Financial Incorporated | No-show (TFG); ISC (CF) | Marc Frederick Korsch | HLBS Law | NO | OB | 2 | G/D | Marc Frederick Korsch | | Karl A. Vogeler, III | 1 |
| 19-03189 | Newark, NJ | 10/23/2019 | 09/09/2020 | 09/21/2020 | Hennion & Walsh Incorporated | ISC | Stephen George Kowalski | ISC | NO | NO | 1 | G | Stephen George Kowalski | | Michael H. DuBoff, Esq. | 1 |

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| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-03192 | Denver, CO | 10/23/2019 | 05/28/2020 | 06/02/2020 | AXA Advisors LLC | ISC | Rex C. Emery | HLBS Law | NO | NO | 1 | D | | Rex C. Emery | Susan L. Walker, Esq. | 1 |
| 19-03247 | Boca Raton, FL | 10/29/2019 | 05/29/2020 | 06/16/2020 | Wells Fargo Advisors LLC | ISC | Michele Elaine Kief | Stein & Stein | NO | NO-D | 2 | G | Michele Elaine Kief | | Will Murphy, Esq. - Chair; Mark Allen Bilawsky; Sandra J. Bakalus | 1 |
| 19-03255 | Chicago, IL | 10/31/2019 | 06/25/2020 | 07/03/2020 | RBC Capital Markets Corporation | Dorsey & Whitney | John Henry Piemonte | Roche & Hormozi | NO | NO | 1 | G | John Henry Piemonte | | Lynn Hirschfeld Brahlin, Esq. | 1 |
| 19-03261 | Philadelphia, PA | 10/31/2019 | 04/27/2020 | 05/14/2020 | LPL Financial LLC | ISC | Gary T. Plessi; Kevin D. Houser | Shumaker Loop & Kendrick | NO | OB | 2 | G | Gary T. Plessi; Kevin D. Houser | | John J. Jordan, Esq. - Chair; Stephen J. Scherf; Dale A. Pope | 2 |
| 19-03263 | San Francisco, CA | 10/31/2019 | 05/26/2020 | 06/04/2020 | Edward D Jones & Company Limited Partnership | ISC | Andrew Lane Howard | HLBS Law | NO | NN | 1 | G | Andrew Lane Howard | | Daniel M. Yamshon, Esq. | 1 |
| 19-03274 | Jacksonville, FL | 11/01/2019 | 04/14/2020 | 04/20/2020 | Morgan Stanley & Company Incorporated | ISC | Robert R. Franskousky | Wolper Law Firm PA | NO | NO | 2 | G | Robert R. Franskousky | | Louis David Huss | 1 |
| 19-03276 | New York, NY | 11/01/2019 | 09/02/2020 | 09/16/2020 | Prudential Equity Group LLC | Paduano & Weintraub | Michael Frank Greenstone | Law Offices of Patrick R. Mahoney PC | NO | NO/NN | 5 | G | Michael Frank Greenstone | | Michael H. DuBoff, Esq. | 1 |
| 19-03283 | Newark, NJ | 11/01/2019 | 05/12/2020 | 05/26/2020 | UBS Financial Services Incorporated | ISC | Michael Greenstone | Law Offices of Patrick R. Mahoney PC | NO | NN | 1 | G | Michael Greenstone | | Linda J. Baer, Esq. | 1 |
| 19-03285 | Newark, NJ | 11/01/2019 | 06/29/2020 | 07/09/2020 | UBS Financial Services Incorporated | ISC | Michael Frank Greenstone | Law Offices of Patrick R. Mahoney PC | NO | OB | 1 | G | Michael Frank Greenstone | | Michael H. DuBoff, Esq. | 1 |
| 19-03287 | Newark, NJ | 11/01/2019 | 07/14/2020 | 07/21/2020 | UBS Financial Services Incorporated | ISC | Michael Frank Greenstone | Law Offices of Patrick R. Mahoney PC | NO | NO | 1 | G | Michael Frank Greenstone | | Robert E. Anderson, Esq. | 1 |
| 19-03288 | Newark, NJ | 11/01/2019 | 08/06/2020 | 08/13/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Michael Greenstone | Law Offices of Patrick R. Mahoney PC | NO | OB | 1 | G | Michael Greenstone | | Martin R. Cramer | 1 |
| 19-03294 | Boca Raton, FL | 10/28/2019 | 03/26/2020 | 04/07/2020 | Securities America Incorporated | ISC | Robert Wayne Warther | Galvin Legal PLLC | NO | NO | 1 | G | Robert Wayne Warther | | Robert G. Geeseman, Esq. - Chair; Diane M. Perry, Esq.; Tiffany Ann Taylor | 1 |
| 19-03300 | Philadelphia, PA | 11/04/2019 | 03/18/2020 | 03/25/2020 | Raymond James & Associates Incorporated | ISC | Terrence Victor Fant | AdvisorLaw LLC | NO | NO | 1 | G | Terrence Victor Fant | | Louis P. Wagman | 1 |
| 19-03308 | Los Angeles, CA | 11/05/2019 | 06/02/2020 | 06/11/2020 | AG Edwards & Sons Incorporated | ISC | Aaron Jeffrey Clark | HLBS Law | NO | NN | 1 | G | Aaron Jeffrey Clark | | Barbara M. Zak, Esq. | 1 |
| 19-03319 | Los Angeles, CA | 11/06/2019 | 06/25/2020 | 07/07/2020 | Wells Fargo Clearing Services LLC | ISC | Aaron Jeffrey Clark | HLBS Law | NO | NN | 1 | G | Aaron Jeffrey Clark | | Andrew M. Mintzer, CPA | 1 |
| 19-03322 | San Juan, PR | 11/06/2019 | 05/21/2020 | 06/10/2020 | UBS Financial Services Incorporated | McConnell Valdes LLC | Haydee M. Delgado | Toro Colon Mullet PSC | NO | NO | 1 | G | Haydee M. Delgado | | Martin A. Feigenbaum, Esq. | 1 |
| 19-03333 | Charlotte, NC | 11/07/2019 | 04/08/2020 | 04/13/2020 | Commonwealth Financial Network | ISC | Robert Carlton Blakely | Shumaker Loop & Kendrick | NO | NO-D | 1 | G | Robert Carlton Blakely | | Susan L. Luck - Chair; Dwane Edward Vickstrom; Robert T. Allen, Jr. | 1 |
| 19-03334 | Los Angeles, CA | 11/07/2019 | 06/16/2020 | 06/22/2020 | Cetera Investment Services LLC | ISC | Doris C. Lau | Winget Spadafora & Schwartzberg | NO | NO | 1 | G | Doris C. Lau | | Andrew M. Mintzer, CPA | 1 |
| 19-03341 | Newark, NJ | 11/08/2019 | 05/04/2020 | 05/06/2020 | Triad Advisors LLC | ISC | Timothy Brian Kenyon | Hamburger Law Firm | NO | NO | 1 | D | | Timothy Brian Kenyon | Robert R. Salman, Esq. - Chair; Fred S. Pieroni; Francine Barbara Colon | 1 |
| 19-03364 | Boca Raton, FL | 11/11/2019 | 06/24/2020 | 06/29/2020 | Oppenheimer & Company Incorporated | ISC | Craig Mitchell Goldstone | None | NO | NO-D | 1 | G | Craig Mitchell Goldstone | | Kimberly A. Gilmour, Esq. - Chair; Michael D. Felton, Esq.; Bernard S. Carrey, Esq. | 1 |

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|--------------------------|--------------------|-------------|--------------------|--------------|--|---------------------------------|----------------------------|--------------------------------------|----------------|-----------------|------------------------------|----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | No. of Expunge-ment Requests | Expunge-ment Results | | | | |
| 19-03368 | Salt Lake City, UT | 11/12/2019 | 05/27/2020 | 06/17/2020 | Royal Alliance Associates Incorporated | ISC | Craig Brimhall Nelson | AdvisorLaw LLC | NO | NO | 1 | G | Craig Brimhall Nelson | | Mary Margaret Bush, Esq. | 1 |
| 19-03369 | Las Vegas, NV | 11/12/2019 | 05/12/2020 | 06/12/2020 | LPL Financial LLC | ISC | Craig Brimhall Nelson | AdvisorLaw LLC | NO | NO | 1 | G | Craig Brimhall Nelson | | Erik R. Siering | 1 |
| 19-03374 | Hartford, CT | 11/12/2019 | 06/17/2020 | 06/29/2020 | Voya Financial Advisors Incorporated | Winget Spadafora & Schwartzberg | Steven Todd Jacques | None | NO | NO | 2 | G | Steven Todd Jacques | | Mark Stuart Gurevitz - Chair; Samuel Harrison Chorches, Esq.; Eileen Devaney Leo | 1 |
| 19-03375 | New York, NY | 11/12/2019 | 08/18/2020 | 08/28/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Paul Selvin | Law Offices of Patrick R. Mahoney PC | NO | NO | 1 | G | Paul Selvin | | Arthur Neil Tolciss, Esq. | 1 |
| 19-03379 | Denver, CO | 11/12/2019 | 06/02/2020 | 06/16/2020 | Cetera Advisors LLC; LPL Financial LLC | ISC | Kevin Scott Sanderford | HLBS Law | NO | NO | 2 | G/D | Kevin Scott Sanderford | | Frances Johnson-Wright, Esq. | 1 |
| 19-03390 | Las Vegas, NV | 11/13/2019 | 05/06/2020 | 05/11/2020 | Chase Investment Services Corporation | Duane Morris LLP | Nicholas Joseph Hickly | AdvisorLaw LLC | NO | NO | 1 | G | Nicholas Joseph Hickly | | Milton N. Gross | 1 |
| 19-03396 | Phoenix, AZ | 11/13/2019 | 05/19/2020 | 06/10/2020 | SunAmerica Securities Incorporated | ISC | Todd Michael Foster | AdvisorLaw LLC | NO | NO | 1 | G | Todd Michael Foster | | Jay Lawrence Witkin, Esq. | 1 |
| 19-03402 | Raleigh, NC | 11/13/2019 | 05/04/2020 | 05/29/2020 | Securian Financial Services Incorporated | Faegre Drinker et al. | Robert Carlton Blakely | Shumaker Loop & Kendrick | NO | NO | 1 | G | Robert Carlton Blakely | | John P. Cullem, Esq. - Chair; Joseph Aloysius Newcomb; Charles K. ReCorr | 2 |
| 19-03405 | Washington, DC | 11/03/2019 | 06/25/2020 | 07/22/2020 | Cambridge Investment Research Incorporated; MML Investors Services LLC | ISC (CIR); Stevens & Lee (MML) | Casey Douglas Craig | AdvisorLaw LLC | NO | NO | 2 | G | Casey Douglas Craig | | Jane C. Carney, CPA | 1 |
| 19-03420 | Dallas, TX | 11/15/2019 | 05/01/2020 | 05/08/2020 | Morgan Stanley | Keesal Young & Logan | James D. Stoker II | Berry Odom LLP | NO | NO | 1 | G | James D. Stoker II | | David A. Schuler | 1 |
| 19-03427 | Philadelphia, PA | 11/15/2019 | 07/14/2020 | 07/21/2020 | PFS Investments Incorporated | ISC | Howard Bruce Lashner | Maynard Cooper & Gale | NO | NO | 1 | G | Howard Bruce Lashner | | Carol H. Gold, Esq. | 1 |
| 19-03428 | Philadelphia, PA | 11/15/2019 | 06/23/2020 | 06/30/2020 | PFS Investments Incorporated | ISC | Howard Bruce Lashner | Maynard Cooper & Gale | NO | NO | 1 | G | Howard Bruce Lashner | | Diane Ciccone, Esq. | 1 |
| 19-03452 | Newark, NJ | 11/19/2019 | 06/03/2020 | 06/09/2020 | First Institutional Securities LLC | Dorsey & Whitney | David William Manning | AdvisorLaw LLC | NO | NO | 1 | G | David William Manning | | Joan M. Traub, Esq. | 1 |
| 19-03453 | Seattle, WA | 11/19/2019 | 06/10/2020 | 07/10/2020 | Thrivent Investment Management Incorporated | Bryan Cave et al. | Kevin Jean Pentz | AdvisorLaw LLC | NO | NO | 1 | G | Kevin Jean Pentz | | Daniel B. MacLeod, Esq. | 1 |
| 19-03454 | Detroit, MI | 11/19/2019 | 09/22/2020 | 09/25/2020 | QA3 Financial Corporation | No-show | John Douglas VanDyke | HLBS Law | NO | NO | 1 | G | John Douglas VanDyke | | Tracy L. Allen, Esq. | 1 |
| 19-03458 | Detroit, MI | 11/19/2019 | 05/13/2020 | 05/15/2020 | Wells Fargo Advisors LLC | ISC | David Anthony Smith | Joseph H. Spiegel PLLC | NO | NO-D | 1 | G | David Anthony Smith | | Jeffrey Mark Bauer, Esq. | 1 |
| 19-03476 | San Francisco, CA | 11/20/2019 | 06/22/2020 | 07/08/2020 | Wells Fargo Clearing Services LLC | ISC | Joseph Frederick Eschleman | HLBS Law | NO | OB/NO | 2 | G/D | Joseph Frederick Eschleman | | Daniel M. Yamshon, Esq. | 1 |
| 19-03478 | Phoenix, AZ | 11/20/2019 | 07/07/2020 | 07/24/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Paul Thomas Rutkowski | AdvisorLaw LLC | NO | NN | 2 | G | Paul Thomas Rutkowski | | Erik R. Siering | 1 |
| 19-03480 | Phoenix, AZ | 11/20/2019 | 06/29/2020 | 07/17/2020 | AXA Advisors LLC | ISC | Paul Thomas Rutkowski | AdvisorLaw LLC | NO | UN | 1 | D | | Paul Thomas Rutkowski | Walter Steven Schwartz | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|---|--|---------------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-03489 | Newark, NJ | 11/21/2019 | 05/19/2020 | 05/29/2020 | RBC Capital Markets LLC | Dorsey & Whitney | Ross Evan Feigen | Maryana Feigen, Attorney-at-Law | NO | OB | 1 | G | Ross Evan Feigen | | Paul Allan Massaro | 1 |
| 19-03506 | Portland, OR | 11/22/2019 | 05/14/2020 | 06/30/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Mary Martha Caldwell | AdvisorLaw LLC | NO | OB/NO | 3 | D | | Mary Martha Caldwell | James John Jurinski, JD | 1 |
| 19-03522 | Boston, MA | 11/20/2019 | 05/28/2020 | 06/24/2020 | MHA Financial Corporation | No-show | C. William Hoilman Jr. | AdvisorLaw LLC | NO | NO | 2 | G | C. William Hoilman Jr. | | Howard N. Gorney | 1 |
| 19-03526 | Little Rock, AR | 11/27/2019 | 06/02/2020 | 06/16/2020 | Edward D Jones & Company Limited Partnership | Bressler Amery & Ross | David Michael Butler | AdvisorLaw LLC | NO | OB | 1 | G | David Michael Butler | | Julie Marie Miller | 2 |
| 19-03527 | Columbia, SC | 11/27/2019 | 06/18/2020 | 06/26/2020 | Scott & Stringfellow LLC | Murphy & McGonigle | Eric Justin Morris | AdvisorLaw LLC | NO | NO | 1 | G | Eric Justin Morris | | Stuart K. Furman | 1 |
| 19-03546 | Newark, NJ | 11/27/2019 | 10/14/2020 | 10/21/2020 | Investors Capital Corporation; JP Turner & Company LLC; NewBridge Securities Corporation | ISC (IC, JPT&C); Kaufman Dolowich Voluck LLC (NBS) | John Owen Slipek | Holcomb & Ward LLP | NO | NO | 3 | G | John Owen Slipek | | Sam Antar, Esq. | 1 |
| 19-03547 | New York, NY | 11/30/2019 | 09/10/2020 | 10/08/2020 | Great American Advisors Incorporated; Lincoln Investment | ISC (GAA); Winget Spadafora & Schwartzberg (LI) | Anthony Thomas Becker | Law Office of Brian Kennedy | NO | NO | 3 | G | Anthony Thomas Becker | | Steven C. Kasarda - Chair; Daniel Adam Schlein; Joanne Basso Mack | 1 |
| 19-03566 | Detroit, MI | 12/03/2019 | 07/14/2020 | 07/15/2020 | Pruco Securities LLC | Paduano & Weintraub | Todd Michael Praschan | HLBS Law | NO | NO | 1 | G | Todd Michael Praschan | | Carl E. Ver Beek, JD | 1 |
| 19-03580 | Los Angeles, CA | 12/04/2019 | 05/27/2020 | 06/16/2020 | A.G.P./Alliance Global Partners; Digital Offering LLC | Kaufman Dolowich & Voluck (AGP); ISC (DO) | Hemant Kathuria | Kalberer LLP | NO | OB/NO | 4 | G | Hemant Kathuria | | Milton N. Gross | 1 |
| 19-03589 | Chicago, IL | 12/05/2019 | 06/03/2020 | 06/19/2020 | Ameriprise Financial Services Incorporated | ISC | John Thomas Fitzgerald | Saretsky Hart et al. | NO | NO | 1 | G | John Thomas Fitzgerald | | Theodore W. Wroblewski, Esq. | 2 |
| 19-03602 | Boston, MA | 12/05/2019 | 01/28/2020 | 02/03/2020 | UBS Financial Services Incorporated | ISC | Andrea B. Bevis | Bressler Amery & Ross | NO | NO | 1 | G | Andrea B. Bevis | | Gerard S. Marsan, Esq. | 1 |
| 19-03610 | Seattle, WA | 12/06/2019 | 07/23/2020 | 08/19/2020 | Wells Fargo Clearing Services LLC | ISC | Susan Hamblin Lawrence | AdvisorLaw LLC | NO | NO | 1 | G | Susan Hamblin Lawrence | | James E. Bartels | 1 |
| 19-03617 | San Francisco, CA | 12/06/2019 | 06/03/2020 | 06/12/2020 | Fifth Third Securities Incorporated | ISC | Virgil John Threlkeld | Barr & Young | NO | NO | 2 | G/W | Virgil John Threlkeld | | Daniel M. Yamshon, Esq. | 1 |
| 19-03633 | Columbus, OH | 12/10/2019 | 02/21/2020 | 03/09/2020 | UBS Financial Services Incorporated | ISC | Steven Edwin LeClair; Leslie Ann Lauer | Bressler Amery & Ross | NO | NO | 2 | G | Steven Edwin LeClair; Leslie Ann Lauer | | Jeffrey Mark Bauer, Esq. | 1 |
| 19-03636 | Dallas, TX | 12/10/2019 | | 06/08/2020 | Keybank Capital Markets Incorporated; UVEST Financial Services Group Incorporated; Cambridge Investment Research Incorporated; LPL Holdings Incorporated | Ulmer & Berne (KCM); ISC (UVEST); No-show (CIR & LPL) | James T. Buto | Knox McLaughlin et al. | E | UN | 1 | D | | James T. Buto | Nicole T. LeBoeuf, Esq. | 0 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|---------------------------|--|--------------------------------|----------------|-----------------|------------------------------|-----------------------|---|----------------------------|-----------------------------|------------|
| | | | | | | | | | | | No. of Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-03647 | New York, NY | 12/11/2019 | 08/18/2020 | 09/10/2020 | Casimir Capital Limited Partnership | No-show | Wayde C. Walker | FA Expungement LLC | NO | NO | 5 | G | Wayde C. Walker | | Joan M. Traub, Esq. | 1 |
| 19-03649 | Los Angeles, CA | 12/11/2019 | 07/28/2020 | 09/04/2020 | Raymond James Financial Services Incorporated; JP Turner & Company LLC | ISC | Robert Joseph Binkele | FA Expungement LLC | NO | NN | 3 | G | Robert Joseph Binkele | | Barbara M. Zak, Esq. | 1 |
| 19-03650 | San Francisco, CA | 12/11/2019 | 07/14/2020 | 07/29/2020 | Mutual Service Corporation | Markun Zusman et al. | Thane Ronald Walton | FA Expungement LLC | NO | NN | 1 | G | Thane Ronald Walton | | William Michael Samsel | 1 |
| 19-03656 | New York, NY | 12/11/2019 | 05/19/2020 | 07/17/2020 | American Portfolios Financial Services Incorporated | ISC | Jimmy William Kuhn | RJM Counsel PLLC | NO | NO | 2 | G | Jimmy William Kuhn | | Josian Antoine, Esq. | 1 |
| 19-03671 | Kansas City, MO | 12/12/2019 | 06/16/2020 | 06/25/2020 | Morgan Stanley | Keesal Young & Logan | Thomas Arthur Saunders Jr. | AdvisorLaw LLC | NO | OB/NO | 2 | G | Thomas Arthur Saunders Jr. | | David A. Schuler | 1 |
| 19-03682 | San Francisco, CA | 12/13/2019 | 02/25/2020 | 03/04/2020 | UBS Financial Services Incorporated | ISC | Neil Bruce Konigsberg | Bressler Amery & Ross | NO | UN | 2 | D/W | | Neil Bruce Konigsberg | Laurel Littman Gothelf, MPH | 1 |
| 19-03688 | San Francisco, CA | 12/13/2019 | 06/23/2020 | 07/06/2020 | Wells Fargo Clearing Services LLC | ISC | Brian Patrick Carey | HLBS Law | NO | NO | 1 | G | Brian Patrick Carey | | Daniel M. Yamshon, Esq. | 1 |
| 19-03693 | Kansas City, MO | 12/16/2019 | 08/20/2020 | 08/31/2020 | Walnut Street Securities Incorporated | ISC | Paul Wayne Ewing | AdvisorLaw LLC | NO | NO | 2 | G | Paul Wayne Ewing | | Michael S. Matek, Esq. | 1 |
| 19-03694 | Kansas City, MO | 12/16/2019 | 08/26/2020 | 09/14/2020 | Vestax Securities Corporation | No-show | Paul Wayne Ewing | AdvisorLaw LLC | NO | NO/NN | 2 | G | Paul Wayne Ewing | | Gregory D. Hoffmann | 1 |
| 19-03695 | Chicago, IL | 12/16/2019 | 07/27/2020 | 07/28/2020 | Northwestern Mutual Investment Services LLC | ISC | Timothy Patrick McGrath | AdvisorLaw LLC | NO | NO | 1 | G | Timothy Patrick McGrath | | Thomas F. Mahoney, Esq. | 1 |
| 19-03699 | Charlotte, NC | 12/16/2019 | 05/19/2020 | 05/28/2020 | Wells Fargo Clearing Services LLC | ISC | Keith Gregory Kepley | Womble Bond Dickinson (US) LLP | NO | NO | 1 | G | Keith Gregory Kepley | | Patricia Horan Latham, Esq. | 1 |
| 19-03708 | Washington, DC | 12/16/2019 | 07/27/2020 | 07/31/2020 | BI Investments LLC | Kaufman Dolowich & Voluck | Carolyn Louise DiPrinzio | AdvisorLaw LLC | NO | UN | 1 | D | | Carolyn Louise DiPrinzio | Jane C. Carney, CPA | 1 |
| 19-03709 | New Orleans, LA | 12/16/2019 | 08/11/2020 | 08/19/2020 | HD Vest Investment Services | ISC | Steven Ross Johnson | FA Expungement LLC | NO | NO | 1 | G | Steven Ross Johnson | | Daniel J. Pagnano, Esq. | 1 |
| 19-03711 | Richmond, VA | 12/16/2019 | 08/11/2020 | 08/17/2020 | LPL Financial LLC | ISC | Carolyn Louise DiPrinzio | AdvisorLaw LLC | NO | NO | 1 | G | Carolyn Louise DiPrinzio | | JoAnne Lewis Nolte | 1 |
| 19-03712 | Atlanta, GA | 12/16/2019 | 08/05/2020 | 10/08/2020 | IFG Network Securities Incorporated | ISC | Roger Scott Green | AdvisorLaw LLC | NO | OB/NO | 4 | G/D | Roger Scott Green | | Michael J. Ahlstrom, Esq. | 1 |
| 19-03715 | Boca Raton, FL | 12/17/2019 | 07/30/2020 | 08/05/2020 | UBS Financial Services Incorporated | ISC | Gonzalo Castano; Miguel Benigno Carrillo | Bressler Amery & Ross | NO | NO | 2 | G | Gonzalo Castano; Miguel Benigno Carrillo | | Mark Allen Bilawsky | 1 |
| 19-03716 | Boca Raton, FL | 12/17/2019 | 08/26/2020 | 09/01/2020 | UBS Financial Services Incorporated | ISC | Miguel Benigno Carrillo | Bressler Amery & Ross | NO | NO | 1 | G | Miguel Benigno Carrillo | | Elena G. Rodriguez | 1 |
| 19-03717 | Boca Raton, FL | 12/17/2019 | 07/15/2020 | 07/22/2020 | UBS Financial Services Incorporated | ISC | Gonzalo Castano | Bressler Amery & Ross | NO | NO | 1 | G | Gonzalo Castano | | Leslie L. Cooney, Esq. | 1 |

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|--------------------------|--------------------|-------------|--------------------|--------------|--|---------------------------------|------------------------------|--------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|--|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 19-03718 | Boca Raton, FL | 12/17/2019 | 08/20/2020 | 09/03/2020 | UBS Financial Services Incorporated | ISC | Gonzalo Castano | Bressler Amery & Ross | NO | NO | 1 | G | Gonzalo Castano | | Seth L. Finkel, Esq. | 1 |
| 19-03744 | Hartford, CT | 12/19/2019 | 04/28/2020 | 05/27/2020 | Ameriprise Financial Services Incorporated | ISC | Robert John Lucarelli | Saretsky Hart et al. | NO | NO | 1 | G | Robert John Lucarelli | | Thomas Matthew Madden | 1 |
| 19-03757 | Los Angeles, CA | 12/20/2019 | 07/21/2020 | 08/17/2020 | Girard Securities Incorporated | ISC | Matthew Jon Lum | HLBS Law | NO | NO | 4 | G | Matthew Jon Lum | | Gregory Douglas Stone | 1 |
| 19-03758 | Houston, TX | 12/20/2019 | 07/22/2020 | 07/24/2020 | UBS Financial Services Incorporated | ISC | Dax P. McCracken | Bressler Amery & Ross | NO | UN | 1 | D | | Dax P. McCracken | Brian James Tagtmeier | 1 |
| 19-03791 | Orlando, FL | 12/23/2019 | 06/23/2020 | 07/15/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | David A. Cohen | Shumaker Loop & Kendrick | NO | NO-D | 4 | G | David A. Cohen | | Stuart K. Furman - Chair; Martin M. Van Luven; Thomas Roe Oldt | 1 |
| 19-03802 | Houston, TX | 12/31/2019 | 05/28/2020 | 06/26/2020 | UBS Financial Services Incorporated | Pratt & Flack | Nicholas Laws Erwin | .S. Capital Advisors LLC | NO | NO | 1 | G | Nicholas Laws Erwin | | Thomas A. Martin, Esq. | 1 |
| 19-03814 | Atlanta, GA | 12/23/2019 | 09/02/2020 | 09/18/2020 | Raymond James & Associates Incorporated | ISC | Mark David Kopkin | Smiley Bishop & Porter | NO | NO | 1 | G | Mark David Kopkin | | Michael J. Ahlstrom, Esq. | 1 |
| 19-03816 | Newark, NJ | 12/26/2019 | 10/02/2020 | 10/19/2020 | Ameriprise Financial Services Incorporated | ISC | Timothy Morgan Burklow | AdvisorLaw LLC | NO | NO | 1 | G | Timothy Morgan Burklow | | Micalyn S. Harris, Esq. | 1 |
| 19-03843 | Boca Raton, FL | 12/27/2019 | 05/21/2020 | 05/29/2020 | David Lerner Associates Incorporated et al. | ISC | Gerard Crean; Darren Nomberg | Thompson Hine LLP | NO | NO | 2 | G | Gerard Crean; Darren Nomberg | | Carl Shechter, Esq. | 1 |
| 20-00005 | Minneapolis, MN | 01/02/2020 | 07/21/2020 | 07/27/2020 | Securities America Incorporated | ISC | Dustin Neil Christopherson | AdvisorLaw LLC | NO | NO | 1 | G | Dustin Neil Christopherson | | William M. Azkoul, JD | 1 |
| 20-00011 | New York, NY | 12/30/2019 | 07/21/2020 | 08/07/2020 | Joseph Gunnar & Company LLC | John E. Lawlor, Attorney-at-Law | James V. Lombardo II | FA Expungement LLC | NO | NN | 2 | G/D | James V. Lombardo II | | Brian John Gallagher | 1 |
| 20-00016 | Newark, NJ | 12/31/2019 | 07/09/2020 | 07/15/2020 | National Securities Corporation | ISC | Matthew Fleissner | FA Expungement LLC | NO | NO | 2 | G | Matthew Fleissner | | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 20-00031 | Kansas City, MO | 01/03/2020 | 09/15/2020 | 10/02/2020 | UBS Financial Services Incorporated; Wells Fargo Clearing Services LLC | ISC | Christopher Lee Walker | FA Expungement LLC | NO | NO | 3 | G | Christopher Lee Walker | | Philip J. Glick, Esq. | 1 |
| 20-00045 | Salt Lake City, UT | 01/03/2020 | 07/02/2020 | 08/11/2020 | Parkland Securities LLC | ISC | Timothy Lee Pearson | AdvisorLaw LLC | OB | NO | 1 | G | Timothy Lee Pearson | | Terry M. Lloyd, CPA, CFA | 1 |
| 20-00052 | Chicago, IL | 01/06/2020 | 09/17/2020 | 09/28/2020 | LPL Financial LLC | ISC | Bradley Joseph Armstrong | FA Expungement LLC | NO | NO | 1 | G | Bradley Joseph Armstrong | | Ray J. Grzebielski, Esq. | 1 |
| 20-00054 | Kansas City, MO | 01/08/2020 | 10/06/2020 | 10/20/2020 | George K Baum & Company | ISC | Gregory Robert Schaff | FA Expungement LLC | NO | NO | 2 | G | Gregory Robert Schaff | | C. Sumpter Logan | 1 |
| 20-00073 | Washington, DC | 01/08/2020 | 08/25/2020 | 09/08/2020 | Edward D Jones & Company Limited Partnership | ISC | Nicholas John Onder | FA Expungement LLC | NO | UN | 1 | D | | Nicholas John Onder | Tina E. Patterson | 1 |
| 20-00077 | New York, NY | 01/08/2020 | 06/25/2020 | 07/08/2020 | David A. Lerner Associates Incorporated et al. | ISC | Robert Spencer Cavanagh | Thompson Hine LLP | NO | NO | 1 | G | Robert Spencer Cavanagh | | Michael H. DuBoff, Esq. | 1 |

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|------------|------------------|-------------|--------------------|--------------|--|------------------------|--|----------------------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|-------------------------------|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 20-00081 | Tampa, FL | 01/09/2020 | 09/09/2020 | 09/14/2020 | Investors Capital Corporation | ISC | William Blair Gordon | Baritz & Colman | NO | UN | 6 | D | | William Blair Gordon | Martin M. Van Luven | 1 |
| 20-00087 | Detroit, MI | 01/09/2020 | 08/13/2020 | 09/04/2020 | AXA Advisors LLC | Miller Canfield et al. | Thomas Joseph Vandoorne, Jr. | Saretsky Hart et al. | NO | NO | 1 | G | Thomas Joseph Vandoorne, Jr. | | Terrance J. Dorcy | 1 |
| 20-00090 | Columbia, SC | 01/09/2020 | 05/29/2020 | 06/08/2020 | LPL Financial LLC | ISC | Christopher Bryan Mise | FA Expungement LLC | NO | NO | 1 | G | Christopher Bryan Mise | | Maurice M. Feller, Esq. | 1 |
| 20-00117 | Washington, DC | 01/13/2020 | 07/28/2020 | 08/28/2020 | H. Beck Incorporated | D'Amura & Zaidman | Phylp Arthur Wagner | AdvisorLaw LLC | NO | NO | 1 | G | Phylp Arthur Wagner | | Mary E. Woytek, Esq. | 1 |
| 20-00119 | Los Angeles, CA | 01/13/2020 | 09/25/2020 | 10/30/2020 | UBS Financial Services Incorporated | ISC | Terance T. Power | HLBS Law | NO | OB/NO | 4 | G | Terance T. Power | | Erik R. Siering | 1 |
| 20-00120 | Los Angeles, CA | 01/13/2020 | 08/03/2020 | 08/20/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Terance T. Power | HLBS Law | NO | NO | 1 | G | Terance T. Power | | Michael D. Harrison, Esq. | 1 |
| 20-00122 | Charlotte, NC | 01/13/2020 | 07/09/2020 | 07/15/2020 | Sagepoint Financial Incorporated | ISC | Christopher R. Bice | AdvisorLaw LLC | NO | NO | 1 | G | Christopher R. Bice | | Michael J. Ahlstrom, Esq. | 1 |
| 20-00126 | New York, NY | 01/14/2020 | 09/03/2020 | 09/18/2020 | JP Morgan Securities LLC | Satterlee Stephens LLP | Anthony Joseph Caravetta | FA Expungement LLC | NO | OB | 1 | G | Anthony Joseph Caravetta | | Robert E. Anderson, Esq. | 1 |
| 20-00131 | Seattle, WA | 01/14/2020 | 08/18/2020 | 10/29/2020 | Transamerica Financial Advisors Incorporated | ISC | Matthew Thomas Bumstead | AdvisorLaw LLC | NO | NO | 1 | G | Matthew Thomas Bumstead | | Stephany Adriene Watson, Esq. | 2 |
| 20-00136 | Philadelphia, PA | 01/14/2020 | 07/14/2020 | 07/20/2020 | Vanguard Marketing Corporation | ISC | Christopher E. Goudey; Michael P. Squier | Stradley Ronon et al. | NO | NO | 2 | G | Christopher E. Goudey; Michael P. Squier | | James W. (Jim) Geiger | 1 |
| 20-00148 | Wilmington, DE | 01/15/2020 | 08/12/2020 | 08/20/2020 | Woodbury Financial Services Incorporated | ISC | Robert Willis Bruner | AdvisorLaw LLC | NO | NO | 1 | G | Robert Willis Bruner | | Robert E. Anderson, Esq. | 1 |
| 20-00190 | New York, NY | 01/20/2020 | 06/24/2020 | 07/08/2020 | Morgan Stanley | ISC | Neil I. Canell | Kalberer LLP | NO | NO | 1 | G | Neil I. Canell | | Joan M. Traub, Esq. | 1 |
| 20-00191 | New York, NY | 01/20/2020 | 07/14/2020 | 07/17/2020 | JP Morgan Securities Incorporated | Duane Morris LLP | Jason E. Latos | Kalberer LLP | NO | NO | 1 | G | Jason E. Latos | | Gerald M. Levine | 1 |
| 20-00196 | Orlando, FL | 01/21/2020 | 08/12/2020 | 08/18/2020 | Securities America Incorporated | ISC | Dale Lawrence Cebert | HLBS Law | NO | OB/NO | 3 | G | Dale Lawrence Cebert | | Mauricio Arcadier, JD | 1 |
| 20-00197 | Orlando, FL | 01/21/2020 | 09/10/2020 | 09/24/2020 | National Planning Corporation | Saretsky Hart et al. | Dale Lawrence Cebert | HLBS Law | NO | NO/NN | 2 | G | Dale Lawrence Cebert | | John P. Cullem, Esq. | 1 |
| 20-00224 | Louisville, KY | 01/22/2020 | 08/24/2020 | 08/27/2020 | Raymond James Financial Services Incorporated | ISC | Thomas Parmelee Dupree Jr. | AdvisorLaw LLC | NO | NO | 1 | G | Thomas Parmelee Dupree Jr. | | James W. (Jim) Geiger | 1 |
| 20-00226 | San Juan, PR | 01/21/2020 | 07/14/2020 | 07/20/2020 | UBS Financial Services Incorporated | ISC | Ricardo Eboli-Kodesh | McConnell Valdes LLC | NO | NO | 1 | G | Ricardo Eboli-Kodesh | | Christopher J. Klein, Esq. | 1 |
| 20-00239 | New York, NY | 01/22/2020 | 10/01/2020 | 10/28/2020 | Wells Fargo Clearing Services LLC | ISC | Robert Lawrence Slovinsky | Law Offices of Alan S. Broderson | NO | NO | 6 | G | Robert Lawrence Slovinsky | | Gerald M. Levine | 1 |
| 20-00250 | Cincinnati, OH | 01/23/2020 | 08/18/2020 | 08/24/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | William Troy Neat | AdvisorLaw LLC | NO | NO | 2 | G | William Troy Neat | | Gregory P. Szuter, Esq. | 1 |

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|--------------------------|-------------------|-------------|--------------------|--------------|--|------------------------|---------------------------------------|-----------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 20-00263 | Los Angeles, CA | 01/23/2020 | 09/21/2020 | 10/15/2020 | Independent Financial Group LLC | ISC | Cynthia Mary Couyoumjian | HLBS Law | NO | OB | 1 | G | Cynthia Mary Couyoumjian | | Robert B. Hansohn | 1 |
| 20-00295 | New York, NY | 01/24/2020 | 03/27/2020 | 04/07/2020 | Citigroup Global Markets Incorporated | ISC | Cesar Chicayban Neto | Bressler Amery & Ross | NO | NO | 1 | G | Cesar Chicayban Neto | | Madelon M. Rosenfeld, Esq. | 1 |
| 20-00297 | New Orleans, LA | 01/24/2020 | 05/21/2020 | 05/29/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Theodore John Longo | Crowe & Dunlevy | NO | NO | 1 | G | Theodore John Longo | | Lynne M. Gomez, Esq. - Chair; Brian P. Jakes, Sr.; Eric M. Schorr | 1 |
| 20-00327 | San Juan, PR | 01/28/2020 | 06/25/2020 | 07/07/2020 | UBS Financial Services Incorporated | McConnell Valdes LLC | Jose E. Chaves | Toro Colon et al. | NO | NO | 1 | G | Jose E. Chaves | | Martin A. Feigenbaum, Esq. | 1 |
| 20-00356 | Los Angeles, CA | 01/29/2020 | 08/05/2020 | 08/20/2020 | JP Turner & Company LLC | ISC | Mark John Williams | Gordon Rees et al. | NO | OB | 2 | G | Mark John Williams | | Robert E. Jenks | 1 |
| 20-00362 | Denver, CO | 01/30/2020 | 09/01/2020 | 09/17/2020 | Ameriprise Financial Services Incorporated | ISC | Scott Erwin Arrasmith | HLBS Law | NO | NO | 1 | G | Scott Erwin Arrasmith | | Frances Johnson-Wright, Esq. | 1 |
| 20-00390 | Jacksonville, FL | 02/03/2020 | 07/28/2020 | 07/30/2020 | Morgan Keegan & Company LLC; Raymond James Financial Services Incorporated | ISC | Gregory Alan Scott | FA Expungement LLC | NO | UN | 2 | D | | Gregory Alan Scott | Maurice M. Feller, Esq. | 1 |
| 20-00397 | Pittsburgh, PA | 02/04/2020 | 07/28/2020 | 08/09/2020 | Wells Fargo Clearing Services LLC | ISC | Josephine Frances Mastilak | AdvisorLaw LLC | NO | NO | 1 | G | Josephine Frances Mastilak | | Catherine Stewart, Esq. | 1 |
| 20-00412 | Philadelphia, PA | 02/04/2020 | 08/03/2020 | 08/07/2020 | Wachovia Securities LLC | ISC | Jason Wayne Gonter | Lex Nova Law LLC | NO | NO | 1 | G | Jason Wayne Gonter | | Mark H. Stein, JD - Chair; Emily Kay Declercq; Scott Steven Morrison (Dissents) | 1 |
| 20-00421 | Honolulu, HI | 02/05/2020 | 08/07/2020 | 08/19/2020 | H. Beck Incorporated | ISC | Katie Christine Buck | HLBS Law | NO | OB/NO | 2 | G/D | Katie Christine Buck | | Arocles Aguilar | 1 |
| 20-00423 | Newark, NJ | 02/05/2020 | 09/02/2020 | 09/23/2020 | First Union Brokerage Services Incorporated | ISC | Sylvester Knox | AdvisorLaw LLC | NO | NO | 1 | G | Sylvester Knox | | Louis H. Miron, Esq. | 1 |
| 20-00427 | Newark, NJ | 02/05/2020 | 10/05/2020 | 10/27/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Sylvester Knox | AdvisorLaw LLC | NO | UN | 6 | D | | Sylvester Knox | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 20-00428 | Newark, NJ | 02/05/2020 | 10/07/2020 | 10/14/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Sylvester Knox | AdvisorLaw LLC | NO | OB/NO | 6 | D | | Sylvester Knox | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 20-00434 | Los Angeles, CA | 02/05/2020 | 08/24/2020 | 09/11/2020 | New England Securities | No-show | Ryan O. Haslam | HLBS Law | NO* | NO | 1 | G | Ryan O. Haslam | | Morris S. Getzels, Esq. | 1 |
| 20-00435 | Newark, NJ | 02/05/2020 | 10/09/2020 | 10/28/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Sylvester Knox | AdvisorLaw LLC | NO | UN | 5 | D | | Sylvester Knox | Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) | 1 |
| 20-00441 | San Francisco, CA | 02/05/2020 | 06/16/2020 | 07/24/2020 | LPL Financial LLC | ISC | Jane Alison Scarbrough | Ghabai Law Group LLC | NO | OB | 1 | G | Jane Alison Scarbrough | | Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) | 2 |
| 20-00444 | San Juan, PR | 02/06/2020 | 08/20/2020 | 09/04/2020 | UBS Financial Services Incorporated | ISC | Anita M. Brennan; Marina Sonya Tudela | McConnell Valdes LLC | NO | NO | 6 | G | Anita M. Brennan; Marina Sonya Tudela | | Martin A. Feigenbaum, Esq. | 1 |
| 20-00445 | Orlando, FL | 02/06/2020 | 10/19/2020 | 10/30/2020 | New England Securities | No-show | Frankie Ricardo Brin | HLBS Law | NO | NO | 1 | G | Frankie Ricardo Brin | | Gayle B. Carlson, Esq. | 1 |

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|--------------------------|----------------|-------------|--------------------|--------------|--|-------------------------------------|---|----------------------------|----------------|-----------------|-----------------|---------------|---|----------------------------|---|------------|
| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 20-00446 | Boca Raton, FL | 02/06/2020 | 07/13/2020 | 07/23/2020 | Wells Fargo Clearing Services LLC | ISC | Michael Smith Kelleher; Peter V. Caruso | Stein & Stein | NO | NO-D | 2 | G | Michael Smith Kelleher; Peter V. Caruso | | Carl Shechter, Esq. - Chair; Robert G. Falbisaner; Robert J. Harvey | 1 |
| 20-00449 | Orlando, FL | 02/07/2020 | 09/09/2020 | 09/18/2020 | Voya Financial Advisors Incorporated | Winget Spadafora & Schwartzberg | Frankie Ricardo Brin | HLBS Law | NO | NO | 1 | G | Frankie Ricardo Brin | | Gail E. Sasnett, MS, JD (fka Gail E. Sasnett-Stauffer, MS, JD) | 1 |
| 20-00484 | Boston, MA | 02/11/2020 | 09/15/2020 | 09/18/2020 | Gleacher & Company Securities Incorporated | No-show | John W. Ohi | AdvisorLaw LLC | NO | NO | 1 | G | John W. Ohi | | Howard N. Gomey | 1 |
| 20-00489 | Detroit, MI | 02/12/2020 | 10/06/2020 | 10/22/2020 | AG Edwards & Sons Incorporated | ISC | Gerard Thaddeus Taylor | HLBS Law | NO | NN | 1 | G | Gerard Thaddeus Taylor | | Lee Hornberger, JD | 1 |
| 20-00494 | Buffalo, NY | 02/11/2020 | 08/05/2020 | 08/12/2020 | Berthel Fisher & Company Financial Services Incorporated | ISC | Alexander L. Skabry | AdvisorLaw LLC | NO | NO | 1 | G | Alexander L. Skabry | | Tracy L. Allen, Esq. | 1 |
| 20-00497 | Cincinnati, OH | 02/12/2020 | 08/19/2020 | 08/28/2020 | UBS Financial Services Incorporated | Bressler Amery & Ross | Shaun Perry Nicholson | HLBS Law | NO | NN | 1 | G | Shaun Perry Nicholson | | Mark Alexander Sipper | 1 |
| 20-00502 | Detroit, MI | 02/12/2020 | 08/12/2020 | 08/20/2020 | LPL Financial LLC | ISC | Joshua M. Barron | Saretsky Hart et al. | NO | NO | 1 | G | Joshua M. Barron | | Jeffrey Mark Bauer, Esq. | 1 |
| 20-00503 | New York, NY | 02/12/2020 | 10/21/2020 | 10/27/2020 | Laidlaw & Company (UK) Limited | ISC | James Ahern | Sichenzia Ross Ference LLP | NO | NO | 3 | G | James Ahern | | Howard D. Jacob, Esq. | 1 |
| 20-00506 | Tampa, FL | 02/14/2020 | 09/28/2020 | 10/05/2020 | Investacorp Incorporated | ISC | Alan Douglass | Kaufman Dolowich & Voluck | NO | NO | 2 | G | Alan Douglass | | Martin M. Van Luven | 1 |
| 20-00537 | New York, NY | 02/14/2020 | 10/05/2020 | 10/21/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Anthony Kenneth Greier | AdvisorLaw LLC | NO | NO | 1 | G | Anthony Kenneth Greier | | Robert E. Anderson, Esq. | 1 |
| 20-00542 | Dallas, TX | 02/17/2020 | 09/23/2020 | 10/01/2020 | Avantax Investment Services Incorporated | ISC | Jeffrey Thomas Dobyns | AdvisorLaw LLC | NO | NO | 1 | G | Jeffrey Thomas Dobyns | | Frances Johnson-Wright, Esq. | 1 |
| 20-00563 | Boston, MA | 02/17/2020 | 09/01/2020 | 09/14/2020 | Morgan Stanley; Prudential Equity Group LLC | ISC (MS); Paduano & Weintraub (PEG) | John Brennan Zitzmann | Kalberer LLP | NO | NO/NN | 3 | G | John Brennan Zitzmann | | Michael P. Breton | 1 |
| 20-00570 | New York, NY | 02/18/2020 | 08/18/2020 | 08/25/2020 | Cadaret Grant & Company Incorporated | ISC | Eugene James Long | FA Expungement LLC | NO | NO | 1 | G | Eugene James Long | | Susan A. Romano | 1 |
| 20-00571 | Chicago, IL | 02/18/2020 | 09/24/2020 | 10/01/2020 | Commonwealth Financial Network | ISC | Scott Anthony Biestek | FA Expungement LLC | NO | NO | 1 | G | Scott Anthony Biestek | | Steven H. Vogel, Esq. | 1 |
| 20-00572 | Columbus, OH | 02/18/2020 | 09/08/2020 | 09/16/2020 | Morgan Stanley | ISC | Dean Thomas Schockling | FA Expungement LLC | NO | NO | 3 | G/D | Dean Thomas Schockling | | Robert J. Scafuri, Esq. | 1 |
| 20-00592 | New York, NY | 02/19/2020 | 10/09/2020 | 10/16/2020 | Morgan Stanley & Company LLC | ISC | Dominick John DiBona | AdvisorLaw LLC | NO | NO-D | 1 | G | Dominick John DiBona | | Robert E. Anderson, Esq. | 1 |
| 20-00601 | New York, NY | 02/20/2020 | 04/28/2020 | 05/01/2020 | UBS Financial Services Incorporated | ISC | Mark Kravietz | Bressler Amery & Ross | NO | NO | 1 | G | Mark Kravietz | | Anna Lascar | 1 |
| 20-00623 | Newark, NJ | 02/21/2020 | 09/15/2020 | 09/18/2020 | Hennion & Walsh Incorporated | ISC | John Vincent Wallace | ISC | NO | NO | 1 | G | John Vincent Wallace | | Louis H. Miron, Esq. | 1 |

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|------------|-------------------|-------------|--------------------|--------------|---|------------------------|-----------------------------|-------------------------------|----------------|-----------------|-----------------|---------------|---|----------------------------|---|------------|
| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 20-00626 | Seattle, WA | 02/21/2020 | 09/11/2020 | 09/18/2020 | TD Ameritrade Incorporated | Kutak Rock LLP | Robert Dainard | Eversheds Sutherland (US) LLP | NO | NO | 1 | G | Robert Dainard | | Kenneth James Pedersen - Chair; David William Hickman, JD; David E. Crowe | 1 |
| 20-00627 | San Francisco, CA | 02/21/2020 | 09/17/2020 | 10/09/2020 | TD Ameritrade Incorporated | Kutak Rock LLP | Daniel Chang; Steve Kim | Eversheds Sutherland (US) LLP | NO | NO | 1 | D | | Daniel Chang; Steve Kim | Mary Margaret Bush, Esq. - Chair; Shawn Ridgell; Gary William England | 2 |
| 20-00639 | Louisville, KY | 02/25/2020 | 09/09/2020 | 09/21/2020 | Raymond James & Associates Incorporated | ISC | Robert A.A. Brewer | Maynard Cooper & Gale | NO | OB/NO | 8 | G/D | Robert A.A. Brewer | | C. William (Bill) Swinford, Jr., Esq. | 1 |
| 20-00644 | Cincinnati, OH | 02/25/2020 | 07/09/2020 | 07/17/2020 | Kalos Capital Incorporated | ISC | Curvin Elwood Miller IV | FA Expungement LLC | NO | NO | 1 | G | Curvin Elwood Miller IV | | Paul Lansing, Esq. | 1 |
| 20-00645 | Jacksonville, FL | 02/25/2020 | 07/28/2020 | 07/30/2020 | Morgan Keegan & Company Incorporated; Raymond James Financial Services Incorporated | ISC | Gregory Alan Scott | FA Expungement LLC | NO | UN | 2 | D | | Gregory Alan Scott | Maurice M. Feller, Esq. | 1 |
| 20-00664 | Orlando, FL | 02/27/2020 | 10/09/2020 | 10/21/2020 | ProEquities Incorporated | Wiand Guerra King PA | Lawrence Aloysius Breen III | HLBS Law | NO | NN | 1 | G | Lawrence Aloysius Breen III | | John P. Cullem, Esq. | 1 |
| 20-00666 | Orlando, FL | 02/27/2020 | 09/24/2020 | 10/05/2020 | VSR Financial Services Incorporated | ISC | Lawrence Aloysius Breen III | HLBS Law | NO | NO | 1 | G | Lawrence Aloysius Breen III | | Stuart K. Furman | 1 |
| 20-00669 | San Francisco, CA | 02/27/2020 | 07/16/2020 | 07/24/2020 | Ni Advisors | ISC | Suihock Goy | Ulmer & Berne LLP | NO | NO | 1 | G | Suihock Goy | | Dean J. Dietrich, Esq. | 1 |
| 20-00678 | Buffalo, NY | 02/27/2020 | 08/17/2020 | 08/24/2020 | AXA Advisors LLC | ISC | Lynda Martinsen | AdvisorLaw LLC | NO | OB | 1 | G | Lynda Martinsen | | Michael D. McDowell | 1 |
| 20-00683 | New York, NY | 02/28/2020 | 09/09/2020 | 09/25/2020 | McBarron Capital LLC | No-show | E. Stewart Johnson | Locke Lord LLP | NO | OB | 1 | G | E. Stewart Johnson | | Jill Pilgrim, Esq. - Chair; Betty Chen; Jay L. Zelesnick | 1 |
| 20-00685 | Orlando, FL | 02/28/2020 | 08/12/2020 | 08/20/2020 | Wells Fargo Advisors Financial Network LLC | ISC | James Walter Pillow Jr. | Shumaker Loop & Kendrick | NO | NO | 1 | G | James Walter Pillow Jr. | | Stuart K. Furman - Chair; John Winslow Griesser; Bernard Hornick | 1 |
| 20-00688 | Denver, CO | 02/28/2020 | 09/15/2020 | 10/19/2020 | Geneos Wealth Management Incorporated | Kutak Rock LLP | Joseph Sylvester Sturniolo | HLBS Law | NO | NO | 1 | G | Joseph Sylvester Sturniolo | | Frances Johnson-Wright, Esq. | 1 |
| 20-00698 | Tampa, FL | 03/02/2020 | 09/02/2020 | 09/04/2020 | Ameriprise Financial Services Incorporated | ISC | Armand Anthony Atkinson | Wolper Law Firm PA | NO | NO | 1 | G | Armand Anthony Atkinson | | Mimi B. Osiason | 1 |
| 20-00712 | Newark, NJ | 03/03/2020 | 08/04/2020 | 08/13/2020 | FSC Securities Corporation | ISC | Christopher Paul Scalse | AdvisorLaw LLC | NO | NO | 1 | G | Christopher Paul Scalse | | Joan M. Traub, Esq. | 1 |
| 20-00714 | New York, NY | 03/03/2020 | 09/08/2020 | 09/17/2020 | Summit Brokerage Services Incorporated | ISC | Christopher Paul Scalse | AdvisorLaw LLC | NO | NO | 1 | G | Christopher Paul Scalse | | Anna Lascar | 1 |
| 20-00725 | Washington, DC | 03/03/2020 | 09/15/2020 | 09/21/2020 | Cambridge Investment Research Incorporated | ISC | John Edward Girouard | AdvisorLaw LLC | NO | NO | 1 | G | John Edward Girouard | | Patricia Horan Latham, Esq. | 1 |
| 20-00745 | New York, NY | 03/05/2020 | 08/11/2020 | 08/25/2020 | Oppenheimer & Company Incorporated | ISC | Petar Arizanov | Lax & Neville | NO | NO | 4 | G | Petar Arizanov | | Richard W. Cutler, Esq. | 1 |
| 20-00746 | Chicago, IL | 03/05/2020 | 09/24/2020 | 09/29/2020 | Wells Fargo Clearing Services LLC | ISC | Edward Lee Patzer | AdvisorLaw LLC | NO | NO | 1 | G | Edward Lee Patzer | | Theodore W. Wroblewski, Esq. | 1 |

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|--------------------------|------------------|-------------|--------------------|--------------|--|--------------------------------|---------------------------------------|--------------------------|----------------|-----------------|-----------------|---------------|---|----------------------------|---------------------------|------------|
| | | | | | | | | | | | ment Requests | ment Requests | | | | |
| 20-00757 | Charlotte, NC | 03/06/2020 | 09/29/2020 | 10/01/2020 | Banc of America Investment Services Incorporated | Bressler Amery & Ross | Stanley Michael Ciotoli | AdvisorLaw LLC | NO | NO | 1 | G | Stanley Michael Ciotoli | | Harvey R. Linder, Esq. | 1 |
| 20-00771 | Columbia, SC | 03/06/2020 | 09/16/2020 | 09/18/2020 | Transamerica Financial Advisors Incorporated | ISC | Noel Bateman Swain | FA Expungement LLC | NO | NO | 1 | G | Noel Bateman Swain | | Gary E. Marcus | 1 |
| 20-00789 | New York, NY | 03/09/2020 | 07/14/2020 | 07/23/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Christopher J. Battaglia | FA Expungement LLC | NO | NO | 1 | G | Christopher J. Battaglia | | Susan A. Romano | 1 |
| 20-00791 | Philadelphia, PA | 03/09/2020 | 09/23/2020 | 10/05/2020 | Ameriprise Financial Services Incorporated | ISC | Steven Jablonski | FA Expungement LLC | NO | NO | 1 | G | Steven Jablonski | | Joseph J. Dougherty, JD | 1 |
| 20-00797 | Los Angeles, CA | 03/10/2020 | 08/26/2020 | 09/17/2020 | Cabin Securities Incorporated | ISC | Sam Bhushan | HLBS Law | NO | NO | 1 | G | Sam Bhushan | | Robert D. Sussin, Esq. | 1 |
| 20-00798 | San Diego, CA | 03/10/2020 | 08/27/2020 | 09/10/2020 | Burch & Company Incorporated | Berkowitz Oliver LLP | Sam Bhushan | HLBS Law | NO | NO | 1 | G | Sam Bhushan | | Kevin K. Forrester, Esq. | 1 |
| 20-00803 | Augusta, ME | 03/10/2020 | 10/07/2020 | 10/30/2020 | LPL Financial LLC | ISC | Thomas Owen Shepard | AdvisorLaw LLC | NO | UN | 1 | D | | Thomas Owen Shepard | Richard W. Dissen, Esq. | 1 |
| 20-00810 | Philadelphia, PA | 03/10/2020 | 08/26/2020 | 09/17/2020 | USA Financial Securities Corporation | ISC | Jeffrey Earl Bush Sr. | FA Expungement LLC | NO | NO | 1 | G | Jeffrey Earl Bush Sr. | | Gregory J. Spadea | 1 |
| 20-00823 | Buffalo, NY | 03/11/2020 | 09/01/2020 | 09/18/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Mark Anthony Eidlin | AdvisorLaw LLC | NO | NO | 1 | G | Mark Anthony Eidlin | | Richard W. Dissen, Esq. | 1 |
| 20-00882 | Detroit, MI | 03/17/2020 | 09/11/2020 | 09/14/2020 | Edward D Jones & Company Limited Partnership | Law Offices of Robert J. Morad | Alicia M. McGovern | , Miller Canfield et al. | NO | NO | 1 | G | Alicia M. McGovern | | Barry Goldman, Esq. | 1 |
| 20-00884 | New York, NY | 03/17/2020 | 09/22/2020 | 09/24/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Robert Alan Franchini | AdvisorLaw LLC | NO | NN | 1 | G | Robert Alan Franchini | | Joan M. Traub, Esq. | 1 |
| 20-00886 | Orlando, FL | 03/17/2020 | 10/23/2020 | 10/30/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | Heather D. Churchill | HLBS Law | NO | NO/NN | 3 | G | Heather D. Churchill | | John P. Cullem, Esq. | 1 |
| 20-00901 | Houston, TX | 03/18/2020 | 10/14/2020 | 10/27/2020 | Sanders Morris Harris Incorporated | ISC | James Allen Neuenschwander | AdvisorLaw LLC | NO | NO | 2 | G | James Allen Neuenschwander | | Lynne M. Gomez, Esq. | 1 |
| 20-00902 | Columbia, SC | 03/18/2020 | 10/14/2020 | 10/27/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Michael Charles Pearson | AdvisorLaw LLC | NO | NO-D | 2 | G | Michael Charles Pearson | | Michael J. Ahlstrom, Esq. | 1 |
| 20-00903 | Newark, NJ | 03/18/2020 | 10/06/2020 | 10/19/2020 | Investors Capital Corporation | ISC | William Scott Sheehan | AdvisorLaw LLC | NO | NO/NN | 4 | G | William Scott Sheehan | | Joan M. Traub, Esq. | 1 |
| 20-00905 | Seattle, WA | 03/18/2020 | 10/06/2020 | 10/29/2020 | Wells Fargo Investments LLC | ISC | George Charter Harrison IV | AdvisorLaw LLC | NO | NO | 1 | G | George Charter Harrison IV | | Kenneth James Pedersen | 1 |
| 20-00915 | Cincinnati, OH | 03/20/2020 | 09/30/2020 | 10/20/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Gregory Gerrard Achten | Kalberer LLP | NO | OB | 1 | G | Gregory Gerrard Achten | | David F. Barrett | 1 |
| 20-00927 | San Juan, PR | 03/20/2020 | 09/28/2020 | 10/16/2020 | UBS Financial Services Incorporated | ISC | Anita M. Brennan; Marina Sonya Tudela | McConnell Valdes LLC | NO | NO | 2 | G | Anita M. Brennan; Marina Sonya Tudela | | Elena G. Rodriguez | 1 |

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|--------------------------|------------------|-------------|--------------------|--------------|--|------------------------|----------------------------|----------------------------|----------------|-----------------|------------------------------|--------------|----------------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment | Expunge-ment | | | | | |
| 20-00948 | Nashville, TN | 03/23/2020 | 09/10/2020 | 09/24/2020 | Merrill Lynch Pierce Fenner & Smith Incorporated | Bressler Amery & Ross | Montee Allan Sneed | AdvisorLaw LLC | NO | NO | 1 | G | Montee Allan Sneed | | | Michael J. Ahlstrom, Esq. | 1 |
| 20-00955 | Boca Raton, FL | 03/23/2020 | 10/15/2020 | 10/27/2020 | JP Morgan Securities LLC | ISC | Juan Carlos Freile Franco | Leon Cosgrove LLP | NO | OB | 1 | G | Juan Carlos Freile Franco | | | Carl Shechter, Esq. | 1 |
| 20-00958 | Denver, CO | 03/23/2020 | 10/08/2020 | 10/21/2020 | JP Morgan Securities LLC | Duane Morris LLP | Kelly Marie Stewart | HLBS Law | NO | OB/NO | 3 | G/D | Kelly Marie Stewart | | | Philip J. Glick, Esq. | 1 |
| 20-00962 | Baltimore, MD | 03/24/2020 | 10/20/2020 | 10/26/2020 | LPL Financial LLC | ISC | Vladimir Michael Greben | AdvisorLaw LLC | NO | OB | 1 | G | Vladimir Michael Greben | | | Richard E. Lauziere, CPA | 1 |
| 20-00969 | Minneapolis, MN | 03/25/2020 | 10/15/2020 | 10/16/2020 | LPL Financial LLC | ISC | Michael David Hess | AdvisorLaw LLC | NO | NO | 1 | G | Michael David Hess | | | Tracy L. Allen, Esq. | 1 |
| 20-00972 | Denver, CO | 03/25/2020 | 09/28/2020 | 10/21/2020 | Geneos Wealth Management Incorporated | Kutak Rock LLP | Lawrence Paul Finch | HLBS Law | NO | UN | 1 | D | | Lawrence Paul Finch | | Frances Johnson-Wright, Esq. | 1 |
| 20-00988 | Jacksonville, FL | 03/26/2020 | 10/28/2020 | 10/30/2020 | Edward D Jones & Company Limited Partnership | ISC | Gregory M. Smith | Wand Guerra King PA | NO | NO | 1 | G | Gregory M. Smith | | | Maurice M. Feller, Esq. - Chair; Mitchel Weiss, Esq.; Suzanne E. Reynolds-Brady | 1 |
| 20-00996 | Boca Raton, FL | 03/26/2020 | 09/14/2020 | 09/17/2020 | Banc of America Investment Services Incorporated | Bressler Amery & Ross | Joshua Matthew Garrett | HLBS Law | NO | NO | 2 | G | Joshua Matthew Garrett | | | Edward R. Niederriter, Esq. | 1 |
| 20-01003 | Boca Raton, FL | 03/26/2020 | 10/05/2020 | 10/09/2020 | Austin Atlantic Capital Incorporated | ISC | Rodger David Shay Jr. | HLBS Law | NO | NO | 4 | G | Rodger David Shay Jr. | | | James W. Geiger, Esq. | 1 |
| 20-01029 | Detroit, MI | 03/30/2020 | 10/19/2020 | 10/23/2020 | Citigroup Global Markets Incorporated | Kauff Laton Miller LLP | John William Boukamp III | Saretsky Hart et al. | NO | OB? | 2 | D | | John William Boukamp III | | Jeffrey Mark Bauer, Esq. | 1 |
| 20-01060 | Orlando, FL | 04/01/2020 | 10/13/2020 | 10/16/2020 | Taylor Capital Management Incorporated | No-show | Dean Robert Nowak | HLBS Law | NO | NO | 3 | G | Dean Robert Nowak | | | Mitchel Weiss, Esq. | 1 |
| 20-01079 | Memphis, TN | 04/01/2020 | 06/11/2020 | 06/18/2020 | Morgan Keegan & Company LLC | ISC | John Emory Wilfong | Bressler Amery & Ross | NO | NO | 10 | G | John Emory Wilfong | | | Harvey R. Linder, Esq. | 1 |
| 20-01107 | New Orleans, LA | 04/03/2020 | 07/24/2020 | 08/19/2020 | Citigroup Global Markets Incorporated; Morgan Stanley; UBS Financial Services Incorporated | ISC | Albert Edward Carpenter | Bressler Amery & Ross | NO | OB/NO | 4 | G | Albert Edward Carpenter | | | David A. Schuler | 1 |
| 20-01127 | Houston, TX | 04/07/2020 | 09/29/2020 | 10/12/2020 | Wells Fargo Clearing Services LLC | ISC | Dustin Elliott | FA Expungement LLC | NO | NO | 2 | G | Dustin Elliott | | | G. Maynard Green, JD | 1 |
| 20-01133 | Newark, NJ | 04/06/2020 | 09/22/2020 | 09/25/2020 | Lincoln Financial Advisors Corporation | ISC | Bruce Duncan Linger | Stradley Ronon et al. | NO | NO | 1 | G | Bruce Duncan Linger | | | Louis H. Miron Esq. | 1 |
| 20-01158 | Hartford, CT | 04/08/2020 | 10/22/2020 | 10/29/2020 | Cambridge Investment Research Incorporated; Portsmouth Financial Services | ISC | Michael Edward Chadwick | FA Expungement LLC | NO | NO | 1 | G | Michael Edward Chadwick | | | Steven R. Rolnick, Esq. | 1 |
| 20-01184 | New York, NY | 04/10/2020 | 09/24/2020 | 09/25/2020 | Oppenheimer & Company Incorporated | ISC | Michael Alexander Lackwood | Sichenzia Ross Ference LLP | NO | NO | 1 | G | Michael Alexander Lackwood | | | Michael S. Lazan, Esq. | 1 |

| Docket No. | Venue | Claim Filed | First Hearing Date | Award Issued | Names of Respondents | Respondents' Attorneys | Claimant Brokers | Claimants' Attorneys | Did Rs. Object | Did Cmr. Object | No. of Results of | | Brokers Granted Expungement (in whole or in part) | Brokers Denied Expungement | Arbitrator Names | Hrg. Sess. |
|--------------------------|-----------------|-------------|--------------------|--------------|---|---|---|-----------------------|----------------|-----------------|-----------------------|-----------------------|---|----------------------------|---|------------|
| | | | | | | | | | | | Expunge-ment Requests | Expunge-ment Requests | | | | |
| 20-01199 | Boca Raton, FL | 04/13/2020 | 10/22/2020 | 10/29/2020 | LPL Financial LLC; Sagepoint Financial Incorporated; SII Investments Incorporated | ISC (LPL, SF); Saretsky Hart et al. (SII) | Kevin William McBarron | Louviere Law Firm | NO | NO | 2 | G | Kevin William McBarron | | Kimberly A. Gilmour, Esq. | 1 |
| 20-01212 | Los Angeles, CA | 04/14/2020 | 09/11/2020 | 09/21/2020 | UBS Financial Services Incorporated | ISC | David Joseph Van Acker; Paul Joseph Van Acker | Keesal Young & Logan | NO | NO | 2 | G | David Joseph Van Acker; Paul Joseph Van Acker | | Robert E. Jenks | 1 |
| 20-01359 | New York, NY | 04/29/2020 | 10/16/2020 | 10/21/2020 | JP Turner & Company LLC | ISC | Rocco Guidici Pietro | Holcomb + Ward LLP | NO | NO | 1 | G | Rocco Guidici Pietro | | Howard D. Jacob, Esq. | 1 |
| 20-01365 | Wichita, KS | 04/30/2020 | 10/21/2020 | 10/29/2020 | Kestra Investment Services LLC | D'Amura & Zaidman | Jeffrey Allen Breault | AdvisorLaw LLC | NO | OB | 1 | G | Jeffrey Allen Breault | | Joseph Neal Richardson | 1 |
| 20-01545 | Buffalo, NY | 05/15/2020 | 10/15/2020 | 10/30/2020 | American Portfolios Financial Services Incorporated | No-show | Daniel Kautz | RJM Counsel PLLC | NO | NO | 1 | G | Daniel Kautz | | Tracy L. Allen, Esq. | 1 |
| 20-01600 | Orlando, FL | 05/19/2020 | 10/20/2020 | 10/30/2020 | UBS Financial Services Incorporated | ISC | Victor Lizardi Jr. | Todd A. Zuckerbrod PA | NO | NO | 1 | G | Victor Lizardi Jr. | | Thomas Joseph Atkinson, Sr., JD - Chair; Ron Pekoe; Ken Ziesenheim Esq. | 1 |
| 20-01968 | Newark, NJ | 06/22/2020 | 09/09/2020 | 09/18/2020 | Morgan Stanley | ISC | Jeffrey Michael Alecci | Bressler Amery & Ross | NO | NO/NN | 3 | G | Jeffrey Michael Alecci | | Joan M. Traub, Esq. | 1 |

| | 2015 | 2016 | 2017 | 2018 Updated Data | | Total |
|---|------|------|------|-------------------|------|--------------|
| Total Broker-Initiated Expungement Only Cases Filed | 59 | 135 | 339 | 545 | 700 | 1778 |
| Total Number of Customer Complaints Broker Requested To Be Expunged | 102 | 300 | 756 | 1036 | 1360 | 3554 |
| Highest Number of Customer Complaints Requested Expunged In One Case | 10 | 13 | 24 | 13 | 29 | |
| Total Cases (Three Arbitrators vs. Single Arbitrator) | | | | | | Total |
| Three Arbitrator Cases | 37 | 50 | 46 | 42 | 64 | 239 |
| Single Arbitrator Cases | 22 | 85 | 293 | 503 | 636 | 1539 |
| Three Arbitrator Cases- % | 63% | 37% | 14% | 8% | 10% | |
| Single Arbitrator Cases- % | 37% | 63% | 86% | 92% | 90% | |
| Total Cases (Granted/Denied/Granted In Part) | | | | | | Total |
| Expungement Recommendation Granted | 55 | 109 | 276 | 444 | 593 | 1477 |
| Expungement Recommendation Granted- Three Arbitrator Cases | 34 | 39 | 41 | 37 | 57 | 208 |
| Expungement Recommendation Granted- Single Arbitrator Cases | 21 | 70 | 235 | 407 | 536 | 1269 |
| Expungement Recommendation Granted- % | 93% | 81% | 81% | 81% | 85% | |
| Expungement Recommendation Granted- Three Arbitrator Cases - % | 92% | 78% | 89% | 88% | 89% | |
| Expungement Recommendation Granted- Single Arbitrator Cases- % | 95% | 82% | 80% | 87% | 84% | |
| | | | | | | Total |
| Expungement Denials | 3 | 11 | 32 | 68 | 64 | 178 |
| Expungement Denials- Three Arbitrator Cases | 2 | 6 | 3 | 5 | 5 | 21 |
| Expungement Denials- Single Arbitrator Cases | 1 | 5 | 29 | 63 | 59 | 157 |
| Expungement Denials- % | 5% | 8% | 9% | 12% | 9% | |
| Expungement Denials- Three Arbitrator Cases-% | 5% | 12% | 7% | 12% | 8% | |
| Expungement Denials- Single Arbitrator Cases-% | 5% | 7% | 10% | 13% | 9% | |
| | | | | | | Total |
| Expungement Granted In Part, Denied In Part | 1 | 15 | 31 | 33 | 43 | 123 |
| Expungement Granted In Part, Denied In Part- Three Arbitrator Cases | 1 | 5 | 2 | 0 | 2 | 10 |
| Expungement Granted In Part, Denied In Part- Single Arbitrator Cases | 0 | 10 | 29 | 33 | 41 | 113 |
| Expungement Granted in Part, Denied In Part - % | 2% | 11% | 9% | 6% | 6% | |
| Total Cases (Respondent BD Objected vs. No Objection) | | | | | | Total |
| Resp. Objected to Expungement | 3 | 3 | 5 | 10 | 16 | 37 |

| | 2015 | 2016 | 2017 | 2018 Updated Data | | Total |
|--|------|------|------|-------------------|------|-------|
| Resp. Did Not Object to Expungement | 56 | 132 | 334 | 533 | 684 | 1739 |
| Resp. Objected to Expungement- % | 5% | 2% | 1% | 2% | 2% | |
| Resp. Did Not Object to Expungement- % | 95% | 98% | 99% | 98% | 98% | |
| Expungements Denied When Resp. Objected | 1 | 1 | 0 | 5 | 8 | 15 |
| Expungements Granted In Part, Denied In Part When Resp. Objected | 0 | 1 | 2 | 0 | 4 | 7 |
| Expungements Denied When Resp. Did Not Object | 1 | 2 | 2 | 5 | 56 | 66 |
| Expungements Denied In Part, Granted In Part When Resp. Did Not Object | 3 | 24 | 32 | 63 | 39 | 161 |
| Expungements Denied At Least in Part When Resp. Objected-% | 33% | 67% | 40% | 50% | 75% | |
| Expungements Denied When BD Did Not Object-% | 5% | 18% | 10% | 12% | 14% | |
| Percent More Likely To Deny Expungment When BD Objects | 660% | 372% | 418% | 417% | 536% | |
| Total Cases (Customer Objected vs. No Objection) | | | | | | |
| Customer Objected to Expungement | 2 | 22 | 54 | 63 | 106 | 247 |
| Customer Did Not Object/Participate | 54 | 105 | 273 | 482 | 557 | 1471 |
| Customer Objected to Expungement-% | 3% | 16% | 16% | 12% | 15% | |
| Customer Did Not Object/Participate- % | 92% | 78% | 81% | 88% | 85% | |
| Expungements Denied When Customer Objected | 0 | 2 | 9 | 14 | 9 | 34 |
| Expungements Granted In Part, Denied In Part When Customer Objected | 0 | 6 | 14 | 6 | 23 | 49 |
| Expungements Denied When Customer Did Not Object | 0 | 8 | 23 | 20 | 20 | 71 |
| Expungements Denied At Least In Part When Customer Did Not Object | 3 | 17 | 14 | 61 | 19 | 114 |
| Expungements Denied At Least In Part When Customer Objected- % | 0% | 36% | 43% | 32% | 30% | |
| Expungements Denied At Least In Part When Customer Did Not Object- % | 6% | 16% | 5% | 13% | 7% | |
| Percent More Likely To Deny Expungment When Customer Objects | 0% | 225% | 831% | 244% | 429% | |

From: [Brooks, Kevin](#)
To: [Lisa Braganca](#)
Cc: [REDACTED]
Subject: RE: [REDACTED] Petition for Expungement
Date: Wednesday, May 5, 2021 5:20:44 PM

Lisa,

Equitable takes no position on the first and third requests. As for the second request, Equitable objects to you, your firm, or any other individual reviewing any confidential documents and information produced by Equitable in [REDACTED] v. *AXA Advisors, LLC*, No. 19-02986. Given the confidential and proprietary nature of those documents, the parties in the [REDACTED] matter expressly agreed that the documents would be used solely in connection with prosecuting, defending, and settling that matter. Further dissemination of the documents would destroy or diminish the value of such information, causing Equitable severe and irreparable harm. That concern is heightened by your vague reference below to sharing documents with your “firm [] and other counsel” for [REDACTED]. Moreover, those documents are irrelevant and beyond the scope of what is necessary to decide the pending expungement claim. The documents potentially responsive to the expungement claim—such as the Statement of Claim, the Answer, the settlement agreement, and [REDACTED] account documents—are within [REDACTED] possession already.

Thanks,

Kevin

Kevin W. Brooks

Senior Director & Counsel

[REDACTED]
[REDACTED]

From: Lisa Braganca [REDACTED]
Sent: Tuesday, May 4, 2021 4:36 PM
To: Brooks, Kevin [REDACTED]
Cc: [REDACTED]
Subject: FW: [REDACTED] Petition for Expungement

EXTERNAL EMAIL (Outside EQH Network): Use caution with links and attachments.

Mr. Brooks:

My firm has been retained by [REDACTED] to represent him in opposing [REDACTED] petition for expungement, FINRA Case No. 21-00022.

I spoke with Chris Seps this afternoon about several issues concerning the expungement hearing. First, we ask for a short postponement of the hearing date

because [REDACTED] is not available on May 20. Second, we ask for confirmation that my firm – and other counsel for [REDACTED] in this matter – may review documents and information that AXA may have designated as confidential in the underlying customer dispute. We agree to comply with the terms of any applicable confidentiality provisions. Finally, we ask whether you have any objection to our having access to the case on the FINRA Portal, to our bringing a court reporter to the hearing, and to our having one witness in addition to [REDACTED] testify at the hearing.

I look forward to hearing from you.

Lisa

Celiza (Lisa) Bragança | Bragança Law LLC

[REDACTED]

www.SECDefenseAttorney.com

How do you pronounce Bragança? Brah-gahn-sah or you can hear it here:

<https://youtu.be/RWXjKpmncG0>

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From: Lisa Braganca

Sent: Tuesday, May 4, 2021 12:55 PM

To: [REDACTED] >

Subject: [REDACTED] Petition for Expungement

Dear Mr. Seps:

As I mentioned in the voicemail message I left you, my firm has been retained by [REDACTED] to represent him in opposing [REDACTED] petition for expungement, FINRA Case No. 21-00022. I would have included Kevin Brooks of AXA Advisors on this message but cannot because I do not have contact information for him. I would appreciate your providing that to me at your earliest convenience. I will be informing FINRA of our appearance shortly.

We plan to request a short postponement of the May 20 expungement hearing. I am available to talk with you and Mr. Brooks about alternative dates and to discuss other issues concerning the expungement hearing. You can reach me at [REDACTED].

I look forward to working with you.

Lisa

Celiza (Lisa) Bragança | Bragança Law LLC



www.SECDefenseAttorney.com

How do you pronounce Bragança? Brah-gahn-sah or you can hear it here:

<https://youtu.be/RWXjKpmncGO>

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