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OFFICE OF THE SECRETARY

SECURITIES EXCHANGE COMMISSION	
Denial of FINRA Forum for Expungement Arbitration:	
Applicant:	
Brock Evan Moseley	
v.	
Respondent:	
Financial Industry Regulatory Authority	CASE NO. <u>3-18919</u>
APPLICATION FOR REVIEW	

On October 31, 2018, Brock Evan Moseley (“Mr. Moseley”), who resides at [REDACTED] Canyon, California [REDACTED], submitted a Statement of Claim to the Financial Industry Regulatory Authority (“FINRA”) Office of Dispute Resolution requesting a hearing for the expungement of his CRD record as it relates to the customer dispute disclosure, occurrence number 1934123 (“the Occurrence”). On November 6, 2018, more than two months after the Initial Pre-Hearing Conference was scheduled, counsel for Mr. Moseley received notice that the Director of FINRA Office of Dispute Resolution (“the Director”) denied FINRA forum for arbitration for expungement of the Occurrence. This notice provided no basis and merely cited Industry Code Rule 13203(a) which states:

- (a) The Director may decline to permit the use of the FINRA arbitration forum if the Director determines that, given the purposes of FINRA and the intent of the Code, the subject matter of the dispute is inappropriate, or that accepting the matter would pose a risk to the health or safety of arbitrators, staff, or parties or their representatives. Only the Director may exercise the authority under this Rule.

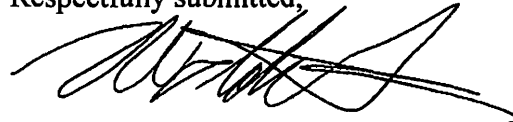
Industry Code Rule 13203(a) is excessively vague, and allows for an egregious amount of discretion on the part of the Director. It offers no true guidance on what is not eligible for FINRA forum and allows for many inconsistencies.

FINRA operates and maintains the Central Registration Depository (CRD). Both registered FINRA advisers as well as Registered Investment Advisers and their Investment Advisory Representatives registered with this agency are required to maintain a CRD #. FINRA promulgated Rule 2080 to provide redress for advisers to expunge items from their CRD. This is the only available means of relief for an individual with a CRD record. Summarily denying Mr. Moseley's request for arbitration, violates Mr. Moseley's due process rights as well as providing disparate unequal treatment for an individual with a CRD #. The Director has abused their discretion by denying forum in such an inconsistent and arbitrary manner.

Mr. Moseley submits this Application for Review to the Commission requesting that he be permitted to bring his case in the forum that he is entitled to by the FINRA Industry Code Rules. Whether the Occurrence is eligible for expungement should be subsequently determined by the Panel that is assigned in arbitration, in accordance with FINRA Industry Code Rules 2080 and 13805. Alternatively, Mr. Mosely requests that if his expungement request of the Occurrence is not heard by FINRA, that FINRA delete any reference to the Occurrence and be further enjoined from making any disclosure or remark on Mr. Moseley's CRD report.

Dated: December, 3, 2018

Respectfully submitted,



Michelle Atlas
Managing Associate
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E: legal@advisorlawyer.com

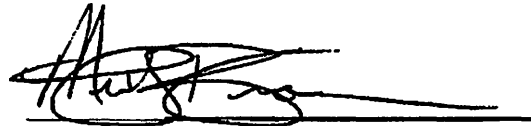
AdvisorLaw, LLC
9737 Wadsworth Pkwy, Ste. 205
Westminster, CO 80021

CERTIFICATE OF SERVICE

I, Misty Brown, certify that on this 3rd day of December 2018, I caused the original and three copies of this Application for Review of Brock Evan Moseley, to be served via Certified Mail on:

Brent J. Fields, Secretary
Securities and Exchange Commission
100 F St., NE
Room 10915
Washington, DC 20549-1090

General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006

A handwritten signature in black ink, appearing to read 'Misty Brown', written over a horizontal line.

Misty Brown
Administrative Law Services Coordinator
AdvisorLaw, LLC
9737 Wadsworth Parkway, Suite 205
Westminster, CO 80021

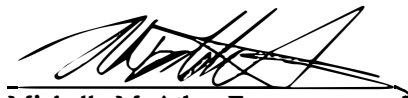
SECURITIES EXCHANGE COMMISSION	
Denial of FINRA Forum for Expungement Arbitration: Applicant: Brock Evan Moseley v. Respondent: Financial Industry Regulatory Authority	CASE NO. _____
NOTICE OF APPEARANCE FOR APPLICANT	

Please accept this as my notice of appearance for Applicant in the above captioned matter.

Respectfully submitted,

Brock Evan Moseley
Applicant

Dated: December 3, 2018



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