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SECURITIES EXCHANGE COMMISSION	FILE NO. _____
Denial of FINRA Forum for Expungement Arbitration: Applicant: Maurice James Acriche v. Respondent: Financial Industry Regulatory Authority	
APPLICATION FOR REVIEW	

On March 23, 2020, Maurice James Acriche (“Mr. Acriche”), who resides at [REDACTED] [REDACTED] Road, [REDACTED] [REDACTED] New York, 11570, 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 two customer dispute disclosures, occurrence numbers 11630 and 167184 (“the Occurrences”). On March 24, 2020, counsel for Mr. Acriche received notice that the Director of FINRA Office of Dispute Resolution (“the Director”) denied FINRA forum for arbitration for expungement of the Occurrences. This notice states “that the claims you have alleged in the above matter are not eligible for arbitration. In accordance with our regular procedures, FINRA staff reviewed the National Bankruptcy list and Lehman Brothers Inc. filed for bankruptcy protection on May 15, 2008 and all claims, including the above matter, against that firm are stayed while its bankruptcy case is pending.” FINRA denied forum, citing Industry Code Rule 13203(a). However, Industry Code Rule 13203(a) does *not* preclude FINRA registered advisors from seeking expungement when the broker-dealer of record is going through bankruptcy. Rather, it 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 the FINRA forum, and it allows for many inconsistencies. Based on Mr. Acriche's obligations to abide by FINRA Rules, he is bound to FINRA arbitration for disputes between himself and a Member Firm. The Director has abused their discretion by denying forum in such an inconsistent and arbitrary manner.

Mr. Acriche submits this Application for Review to the Commission requesting that he be permitted to bring his case in the forum that he is both entitled to and bound to by the FINRA Industry Code Rules. Whether the Occurrences are 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.

Dated: April 23, 2020

Respectfully submitted,



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SECURITIES EXCHANGE COMMISSION	
Denial of FINRA Forum for Expungement Arbitration:	
Applicant: Maurice James Acriche v.	FILE NO. _____
Respondent: Financial Industry Regulatory Authority	
NOTICE OF APPEARANCE FOR APPLICANT	

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

Dated: April 23, 2020

Respectfully submitted,



Harris Freedman, Esq.
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CERTIFICATE OF SERVICE

I, Olivia Peterson, on April 23, 2020, served the original and three copies of Mr. Acriche's Application for Review and Notice of Appearance on:

Vanessa A. Countryman, Secretary
Securities and Exchange Commission
100 F St., NE
Room 10915
Washington, DC 20549-1090
Fax: 202-772-9324

[X] (BY FAX) I caused the documents to be sent to the persons at the fax number listed above. I did not receive, within a reasonable time after the transmission, any electronic message or other indication that the transmission was unsuccessful.

[X] (BY MAIL) I caused the documents to be sent by US Certified Mail to the persons listed above. I did not receive notice or indication from the US Postal Service that the delivery would be unsuccessful.

[X] (STATE) I certify (or declare) under penalty of perjury under the laws of the State of Colorado that the foregoing is true and correct.

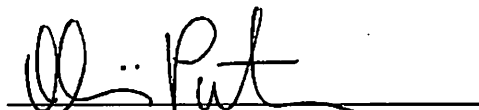
On this date, I also caused the original and three copies of Mr. Acriche's Application for Review and Notice of Appearance on:

General Counsel
FINRA
1735 K Street, NW
Washington, DC 20006
Email: nac.casefilings@finra.org

[X] (BY EMAIL) I caused the documents to be sent to the persons at the e-mail address listed above. I did not receive, within a reasonable time after the transmission, any electronic message or other indication that the transmission was unsuccessful.

[X] (BY MAIL) I caused the documents to be sent by US Certified Mail to the persons listed above. I did not receive notice or indication from the US Postal Service that the delivery would be unsuccessful.

[X] (STATE) I certify (or declare) under penalty of perjury under the laws of the State of Colorado that the foregoing is true and correct.


Olivia Peterson
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