

Expungement Awards in Industry-Initiated Arbitrations Filed 1/1/15 and 12/31/2018

Sorted by Docket #
Prepared for: PIABA Foundation



Powered by: Securities Arbitration Commentator, Inc.

help@sacarbiration.com
www.sacarbiration.com
973.761.5880

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respds.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 20002130 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
15-00093	Cincinnati, OH	12/30/2014	10/23/2015	11/04/2015	UBS Financial Services Incorporated	Bressler Amery & Ross	Michael Joseph Kleinfelder	Strauss Troy LLP	NO	NO	G			x	1		UD		
15-00168	San Juan, PR	01/20/2015	08/12/2015	08/24/2015	Popular Securities Incorporated	Ulmer & Berne	Roberto Luis Rivera Vazquez	Kaufman Dolowich & Voluck	NO	NO	G	x	x	x	1	07/25/2015	PoS	18	
15-00170	Portland, OR	01/21/2015	07/09/2015	08/25/2015	Citigroup Global Markets Incorporated	ISC	Brian Raymond Nelson	Kaufmann Gildin & Robbins	NO	NO	G			x	1	06/30/2015	Not OAH	9	
15-00221	New York, NY	01/27/2015	08/25/2015	04/08/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Brett Hina	Bressler Amery & Ross	NO	NO	G	x	x		1		UD		
15-00251	Newark, NJ	01/30/2015	08/04/2015	10/20/2015	Nationwide Planning Associates Incorporated	ISC	Keith J. Steidle	Stark & Stark	NO	NO	G		x		1	08/19/2015	Not OAH	-15	
15-00386	New York, NY	02/17/2015	10/20/2015	12/30/2015	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Richard Scott Zinman	Wilk Auslander LLP	NO	NO	G	x		x	1		UD		
15-00392	Dallas, TX	02/13/2015	09/17/2015	10/05/2015	Wells Fargo Advisors LLC	ISC	Michael E. Magruder	Kaufmann Gildin & Robbins	NO	NO	G		x		1		UD		
15-00419	Boston, MA	02/11/2015	10/14/2015	12/02/2015	Wells Fargo Advisors LLC	ISC	Gary Louis Breda	Stevens & Lee	NO	NN	G			x	1		Dec		
15-00428	New York, NY	02/12/2015	12/18/2015	01/19/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Scott David Blai	Law Office of Patrick R. Mahoney	NO	NO	G		x		1	12/28/2015	Not OAH	-10	
15-00438	Miami, FL	02/13/2015	10/20/2015	01/19/2016	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Allan Dean Yarkin	Homer Bonner Jacobs PA	NO	NO	G			x	1		UD		
15-00537	Phoenix, AZ	03/05/2015	01/14/2016	01/29/2016	Customers only	Customer	Andrew Clark Blease	Lewis Roca et al.	NO	NO	G	x			1		Rs		
15-00843	Philadelphia, PA	04/06/2015	11/03/2015	12/16/2015	Wells Fargo Advisors LLC fka Wachovia Securities LLC	ISC	Susan Poller-Newman	Coss & Momjian	NO	NO	G	x		x	1	11/30/2015	Not OAH		
15-00894	Philadelphia, PA	04/20/2015	02/09/2016	02/18/2016	Wells Fargo Advisors LLC	Gonzalez Saggio Harlan LLP	Neil David Boyle	None	OB	UN	D				1				
15-00934	Chicago, IL	04/24/2015	03/03/2016	03/08/2016	UBS Financial Services Incorporated	ISC	Jay Maltby	Bressler Amery & Ross	NO	NO	G		x	x	1	02/15/2016	Not OAH	17	
15-01085	St. Louis, MO	05/12/2015	10/01/2015	10/12/2015	Customers only	Customer	Martin Oberman	Bressler Amery & Ross	NO	NO	G	x	x		1		Rs		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007/2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days
15-01235	Hartford, CT	05/29/2015	12/11/2015	03/03/2016	UBS Financial Services Incorporated	ISC	Thomas Durr Lips; Andrew Roy Worthington	Bressler Amery & Ross	NO	NO	G	x	x	x	Robert E. Anderson, Esq. - Chair; Lincoln W. Craighead; Marissa A. Santangelo	1		UD	
15-01276	New York, NY	06/02/2015	12/21/2015	01/12/2016	Credit Suisse Securities (USA) LLC	ISC	Jerry Enoch Stroud	Bressler Amery & Ross	NO	NO	D				James S. Hazard - Chair; Sandra D. Parker, Esq.; John K. Evans (Dissents)	2		UD	
15-01283	Los Angeles, CA	06/02/2015	12/07/2015	01/19/2016	Morgan Stanley	ISC	Lisa Ann Detanna	Rich Intelisano & Katz	NO	NO	G	x	x	x	Robert F. Saint-Aubin, Esq.	1	12/24/2015	Not OAH	-17
15-01357	Detroit, MI	06/09/2015	10/26/2015	11/11/2015	American Portfolios Financial Services Incorporated	ISC	Dustin E. Leach	Mika Meyers et al.	NO	UN	G			x	Patrick R. Sughroue, Esq. - Chair; Richard Edward Rassel, III; D. Michael Kratchman, Esq.	1			
15-01376	Los Angeles, CA	06/11/2015	10/29/2015	12/02/2015	Customers only	Customer	Karl Austin Pettijohn	Rich Intelisano & Katz	NO	NO	G		x	x	Robert D. Sussin, Esq.	1		UD	
15-01377	New York, NY	06/11/2015	05/11/2016	07/22/2016	FSC Securities Corporation	ISC	Richard P. Arzaga	Beugelmans LLP	NO	NO	G		x		Keely D. Parr, Esq. - Chair; Howard D. Jacob, Esq.; Harold Glenn Stafford, Jr.	3	12/18/2015	Not	145
15-01403	Los Angeles, CA	06/16/2015	12/15/2015	06/14/2016	Wedbush Securities Incorporated	ISC	Lisa Ann Detanna	Rahn Muntz O'Grady LLP	NO	NO	G		x	x	Arthur T. Berggren, Esq.	2	12/09/2015	CR	6
15-01458	Dallas, TX	06/19/2015	12/15/2015	12/23/2015	Customers only	Customer	John Mark Kever	Ballard & Littlefield	NO	NO	G			x	G. Maynard Green, JD - Chair; Gerald Ray Waterston; Larry N. Quinn, CPA	1		Rs	
15-01463	New York, NY	06/18/2015	03/08/2016	04/08/2016	Morgan Stanley; Morgan Stanley & Company Incorporated	ISC	Stephanie Kelly	Law Offices of David Harrison	NO	NO	G			x	James S. Hazard - Chair; Clarence Smith, Jr., Esq.; Cirino M. Bruno	1	11/30/2015	Not	99
15-01493	Los Angeles, CA	06/25/2015	02/01/2016	02/22/2016	UBS Financial Services Incorporated	Keesal Young & Logan	Anita Marie D'Aguilar; David Bryan Schachter	Law Offices of Christine A. Page	NO	NO	G		x		Richard J. Stall, Jr., Esq.	1	10/21/2015	OtS	103
15-01503	Boca Raton, FL	06/25/2015	02/08/2016	02/12/2016	PNC Investments LLC	Stark & Stark	Joseph Shimko	Stein & Stein	NO	NO	G		x		Paul J. Burkhardt - Chair; Mark C. Perry, Esq.; Robert S. Natiss	1	10/15/2015	PoS	116
15-01548	Los Angeles, CA	06/30/2015	03/01/2016	03/31/2016	Oppenheimer & Company Incorporated; Raymond James Financial Services Incorporated	ISC	Gary Cremo	Law Offices of Christine A. Page	NO	NO	G/D		x		Elliott David Finkel, Esq. - Chair; Dana L. Bigman; Gerald C. Tambe	1	01/02/2016	PoS	59
15-01601	Columbus, OH	07/02/2015	01/25/2016	02/01/2016	Raymond James Financial Services Incorporated	ISC	Raymond T. Klosz; Traci L. Born	Carlile Patchen & Murphy	NO	NO	G	x	x	x	Lynn Hirschfeld Brahin, Esq. - Chair; George H. Perich, Esq.; W. Charles Curley	1	11/25/2015	Not	61
15-01636	Detroit, MI	07/09/2015	04/20/2016	06/06/2016	Customers only	Customer	Michael Charles Vogel	Warner Norcross & Judd	OB	OB	G		x		Benjamin A. Kerner, Esq. - Chair; Lee Hornberger, JD; Wayne Carl Hallquist	2		Rs	
15-01778	New York, NY	07/13/2015	04/14/2016	05/06/2016	UBS Financial Services Incorporated	ISC	Peter Joseph Klein	Bressler Amery & Ross	NO	NO	G		x		Howard L. Sobel - Chair; William G. Binckes, Esq.; Edward Baer, Esq.	2	02/16/2016	Not	58
15-01780	Minneapolis, MN	07/13/2015	04/14/2016	05/24/2016	Customers only	Customer	Marc Kalter	Finkelstein & Feil	NO	NO	G			x	Charles Orlove - Chair; Kerry C. Koep, Esq.; Frank Abramson	1		Rs	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
15-01887	Miami, FL	07/22/2015	02/11/2016	02/18/2016	Merrill Lynch Pierce Fenner & Smith Incorporated	ISC	Ioana E. Cioc	Hunter Taubman Fischer LLC	NO	NO	G	x	x		1	Seth L. Finkel, Esq. - Chair; Steven N. Ainbinder, Esq.; Kathy N. Novick	11/11/2015	PoS	92
15-01969	*, *	07/31/2015	03/10/2016	04/06/2016	First Allied Securities Incorporated	Winget Spadafora & Schwartzberg	V. John Threlkeld	Barr & Young	NO	NO	G	x		x	1	Laurel Littman Gothelf, MPH	03/09/2016	OtS	1
15-02144	San Diego, CA	08/18/2015	04/06/2016	05/26/2016	Securities America Incorporated	Edgerton & Weaver	Marc C. Seward	Krause Kalfayan et al.	NO	NO	G	x			1	George L. Tindall - Chair; Randy R. Maher, JD; Robert A. Lakosil		UD	
15-02207	*, *	08/20/2015	02/12/2016	06/20/2016	Pacific West Securities Incorporated	No-show	Eric James Schindler	Edgerton & Weaver	NO	NO	G		x		1	Thomas L. Marshall	03/10/2016	Not OAH	-27
15-02264	Tampa, FL	09/01/2015	03/24/2016	04/07/2016	Customers only	Customer	Jared Michael Cohen	Murphy & Anderson	NO	NO	G		x		1	Alfred Brunette, Jr., CPA - Chair; Jack A. Helms; Patrick D. King		Rs	
15-02270	Chicago, IL	08/27/2015	08/03/2016	08/24/2016	McClendon Morrison & Partners LLC	Roberts McGivney Zagotta LLP	Douglas P. McConnel	Rieck & Crotty	OB	UN	G		x		3	Jonathan B. Gilbert, Esq. - Chair; Martin A. Duncan, Esq.; Frank Samuelsohn		UN	
15-02297	Boca Raton, FL	09/02/2015	03/07/2016	03/16/2016	Morgan Stanley & Company LLC	ISC	Dennis Cora	Robert Wayne Pearce P.A.	NO	NO	G	x	x		1	Steven Gerard Goerke, Esq.		UD	
15-02319	Hartford, CT	09/02/2015	05/25/2016	06/16/2016	Ameriprise Financial Services Incorporated	ISC	Camille Marie Gagliardi	The Cho Law Firm	NO	NO	G	x	x		1	Karimu F. Hill-Harvey, Esq.	04/08/2016	Not	47
15-02423	Los Angeles, CA	09/14/2015	04/25/2016	05/03/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Brad Kalas	Deutsch & Lipner	NO	NO	G			x	1	Robert Rosen - Chair; Howard A. Emirhanian; Jeffrey E. Skogsbergh, Esq.		UD	
15-02424	Seattle, WA	09/09/2015	03/29/2016	04/13/2016	Customers only	Customer	Christy Gatien	Hendrickson Law Firm	NO	NO	G			x	1	Michael Lancaster Garcia - Chair; Kenneth James Pedersen; Frederick B. Mueller		Rs	
15-02493	Orlando, FL	09/16/2015	03/29/2016	06/13/2016	Raymond James Financial Services Incorporated; et al.	ISC	Edward Aloysius McDonough	None	NO	NO	G	x	x		1	Robert J. Walter, Esq. (Deceased) - Chair; John Briggs; Lori Beth Kamen	03/15/2016	PoS	14
15-02732	Birmingham, AL	10/12/2015	03/30/2016	04/11/2016	Customers only	Customer	James Scott Hunter	Maynard Cooper & Gale	NO	NO	G		x		1	Daniel T. Hull, Jr.		Rs	
15-02794	New York, NY	10/20/2015	06/16/2016	06/23/2016	Merrill Lynch Pierce Fenner & Smith Incorporated	ISC	Bernard Fuchs	Bressler Amery & Ross	NO	NO	G	x	x		1	Joan M. Traub, Esq.	05/19/2016	Not	28
15-02876	Boca Raton, FL	10/27/2015	07/21/2016	08/09/2016	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Henry Boyce III	Homer Bonner Jacobs PA	NO	NO	G	x		x	1	Barth Satuloff, CPA - Chair; Thomas W. Allen; Edward Alexander Jaffe	04/11/2016	CR	101
15-02909	*, *	10/30/2015	03/25/2016	04/18/2016	Wells Fargo Advisors LLC	ISC	Christopher Edward Coghlan	Law Office of Patrick R. Mahoney	NO	NO	G	x		x	1	Laurel Littman Gothelf, MPH	03/15/2016	Not	10
15-02927	Tampa, FL	10/27/2015	06/13/2016	07/28/2016	Securities America Incorporated	Wiand Guerra King PL	Jack Ronald Wolff	Marshall Dennehey et al.	NO	NO	G		x		1	Gayle B. Carlson, Esq. - Chair; Sydney E. Blum; Patrick D. King	06/13/2016	OtS OAH	0
15-02937	Pittsburgh, PA	11/02/2015	06/14/2016	08/02/2016	NFP Advisor Services LLC fka NFP Securities Incorporated	ISC	Herman Kahn	Kaplan Zeena LLP	NO	NO	D				2	Michael P. Marrayshow, Esq. - Chair; Michael S. Berman; John P. Abriola	07/01/2016	PoS OPA	-17

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
15-02955	Philadelphia, PA	10/28/2015	05/11/2016	06/06/2016	Wells Fargo Advisors LLC	ISC	Thomas Helm	Stevens & Lee	NO	NO	G		x		Joseph J. Dougherty, JD - Chair; Timothy Towles Stevens; John Joseph D'Alessandro, Jr.	1		UD	
15-03015	Dallas, TX	11/09/2015	12/15/2016	01/27/2017	Morgan Stanley & Company LLC	ISC	Edward Wayne Butowsky	Friedman & Feiger	NO	NO	G	x	x	x	Jeff Howard Abrams - Chair; C. Sumpter Logan; Larry N. Quinn, CPA	1	10/04/2016	PoS	72
15-03047	Boca Raton, FL	11/11/2015	05/02/2016	05/09/2016	Wells Fargo Advisors LLC	ISC	Michele Elaine Kief	Akerman LLP	NO	NO	G			x	Herbert Branitsky, Esq.	1	04/05/2016	Not	27
15-03049	Tampa, FL	11/12/2015	10/21/2016	11/08/2016	Raymond James Financial Services Incorporated	ISC	Eric L. Jansson	Wland Guerra King PL	NO	NO	G		x		Maurice M. Feller, Esq. - Chair; Sydney E. Blum; Patricia A. Gunn, CPA (fka Patricia Gunn Zimmerman, CPA)	1	07/27/2016	PoS	86
15-03202	Hartford, CT	11/25/2015	08/23/2016	08/30/2016	Oppenheimer & Company Incorporated	ISC	Jason Raymond Savey	Satterlee Stephens et al.	NO	NO	G	x			Steven T. Stern, Esq. - Chair; Sean Alan D'Amico; Jeffrey H. Farrar	1	03/30/2016	Not	146
15-03205	New York, NY	11/24/2015	06/14/2016	08/02/2016	UBS Financial Services Incorporated; Morgan Stanley Smith Barney (fka Citigroup Global Markets dba Smith Barney)	Bressler Amery & Ross (UBSFS); ISC (MSSB)	Todd Lowell Kissel	Deutsche & Lipner	NO	NO	G		x		Howard J. Stiefel, Esq. - Chair; Dolores D. Balsamo; Kenneth Paul Price	2	05/31/2016	Not	14
15-03222	Newark, NJ	11/30/2015	06/28/2016	06/27/2016	Nationwide Planning Associates Incorporated	ISC	Keith J. Steidle	Stark & Stark	NO	OB	G		x		Robert E. Anderson, Esq.	1	06/10/2016	Not	18
15-03311	New York, NY	12/08/2015	05/31/2016	07/01/2016	David Lerner Associates Incorporated	Thompson Hine LLP	Steven L. Sormani	Thompson Hine LLP	NO	NO	G		x	x	David I. Goldblatt, Esq. - Chair; Brooks White; Charles L. Henderson, Esq.	1	05/04/2016	Not	27
15-03318	Boca Raton, FL	12/11/2015	08/15/2017	08/29/2017	Wells Fargo Advisors LLC	ISC	Thomas Michael Moran	Stein & Stein	NO	NO	G		x		Donald Theodore Ryce, Jr., Esq. - Chair; Bruce K. Isenberg, Esq.; Jay Eng	1		UD	
15-03363	Los Angeles, CA	12/16/2015	09/27/2016	10/07/2016	UBS Financial Services Incorporated	Keesal Young & Logan	Karl Austin Pettijohn	Rahn Muntz O'Grady LLP	NO	NO	G			x	Robert F. Saint-Aubin, Esq.	1		UD	
15-03455	New York, NY	12/22/2015	06/14/2016	01/20/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Joseph Anthony La Ferla Jr.	Hamburger Law Firm	NO	NO	G			x	Madelon M. Rosenfeld, Esq. - Chair; Selma Moy, JD; Thomas F. Caiaffa	1	08/26/2016	Not	-73
16-00018	Houston, TX	12/22/2015	01/20/2017	03/03/2017	Customers only	Customer	Shawn Thomas Kesterson	None	NO	NO	G		x		Thomas A. Martin, Esq. - Chair; Scott Hooper; Heath O. Lauseng	1		Rs	
16-00086	Los Angeles, CA	01/15/2016	06/08/2017	02/16/2018	Transamerica Financial Advisors Incorporated	Albert & Will	Rake Gallaway Murray	Eric Walraven, Attorney-at-Law	NO	NO	G/D			x	Joseph C. Watson, Esq. - Chair; Howard Clark Posner; Jill Switzer	2	04/26/2017	PoS	43
16-00164	Boston, MA	01/14/2016	08/29/2016	09/27/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Timothy Burr Davis	Dhar Law LLP	NO	NO	G	x			John Francis Markuns - Chair; Nickolas F. Monteforte, Esq.; Scott K. Shaw	1		UD	
16-00543	San Diego, CA	02/24/2016	11/16/2016	12/12/2016	Wells Fargo Advisors Financial Network LLC	ISC	John Philip Toman Jr.	The Iavarone Law Firm	NO	UN	D				Randy R. Maher, JD - Chair; Doris V. Knotter; Brett W. Everhart	1		UN	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
16-00551	New York, NY	02/24/2016	07/27/2016	08/09/2016	Credit Suisse Securities (USA) LLC	ISC	Eric P. Berger	Zukeman Gore et al.	NO	NO	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Arnold Wagner, Esq.; Martin Jay Siegel, Esq.	1		UD	
16-00638	Newark, NJ	03/01/2016	08/02/2016	11/15/2016	Charles Schwab & Company Incorporated	ISC	Mark Brian Smalley	None	NO	OB	G	x	x		Joseph H. Cerame, Esq. - Chair; Robert E. Anderson, Esq.; Leo J. Karwejna	1	07/22/2016	Not	11
16-00691	Detroit, MI	03/08/2016	01/31/2017	02/17/2017	Customers only	Customer	Daniel P. Murphy	Saretsky Hart et al.	NO	NO	G			x	Gerald W. Hepp	1		Rs	
16-00740	Boca Raton, FL	03/11/2016	06/29/2017	08/10/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Leonard Jay Suskind	Broad & Cassel	NO	NO	G	x	x	x	Will Murphy, Esq. - Chair; Paul J. Burkhart; Michael A. Levin, Esq.	2		UD	
16-00798	New York, NY	03/16/2016	09/28/2016	10/06/2016	Wells Fargo Advisors LLC	ISC	Christopher J. Calabrese	Paduano & Weintraub	NO	UN	D				Martin A. Edelstein, Esq. - Chair; Frances Gottfried; John Farrell Connor	1		UN	
16-00846	Salt Lake City, UT	03/23/2016	07/28/2016	08/12/2016	E*Trade Securities LLC	ISC	Christopher Ray Warwick	Keesal Young & Logan	NO	NO	G	x	x	x	James B. Eichberg, CPA - Chair; Francis Joseph Raucci; Gene R. Thornton, Esq.	1	01/23/2015	PoS	552
16-00860	Albuquerque, NM	04/04/2016	09/23/2016	11/23/2016	UBS Financial Services Incorporated; et al.	Keesal Young & Logan; Customer	Joshua Ian Schneider	Goodell DeVries et al.	NO	NO	G	x			Michael Lancaster Garcia - Chair; Donald Neil Tolin; Paul A. Krepinski	2		Rs	
16-00893	Detroit, MI	03/24/2016		10/26/2016	Customers only	Customer	Anthony S. Bacarella	Saretsky Hart et al.	NO	NO	G			x	Gerald W. Hepp	0		Rs	
16-00950	Chicago, IL	03/25/2016	12/09/2016	01/12/2017	Customers only	Customer	Steven Todd Kaplan	None	NO	NO	G			x	Steven H. Vogel, Esq.	1		Rs	
16-00968	New York, NY	04/05/2016	09/19/2016	09/28/2016	Morgan Stanley Smith Barney LLC	ISC	Michael Moskowitz	Law Office of Patrick R. Mahoney	NO	NO	G	x			Anna Lascar	1	09/07/2016	Not	12
16-01142	Los Angeles, CA	04/18/2016	12/01/2016	12/22/2016	National Planning Corporation	ISC	Brad Warren Stark	Edgerton & Weaver	NO	NO	G		x		Milton N. Gross - Chair; Norman Cousins Sasamori, Esq., LLM; Andrew Corell Wahrenbrock	1	10/27/2016	Not	35
16-01150	Boca Raton, FL	04/22/2016	08/25/2016	09/01/2016	Transamerica Financial Advisors Incorporated	ISC	Daniel H. Rosenberg	Jenks & Harvey	NO	NO	G		x	x	David Rich - Chair; Steven R. Reininger, Esq.; Stephen Kahane, CPA	1	08/23/2016	OtS	2
16-01211	Hartford, CT	04/29/2016	02/22/2017	05/02/2017	Ameriprise Financial Services Incorporated	ISC	Sid Ironson	None	NO	NO	G	x	x		Sean Alan D'Amico - Chair; Sean Michael Peoples, Esq.; Dale S. Cronnell, CFP	1	04/07/2017	PoS OAH	-44
16-01332	Miami, FL	05/10/2016	01/24/2017	02/14/2017	Securities America Incorporated	ISC	Marc A. Silverman	Birge & Minckley	NO	NO	G	x	x		Kimberly A. Gilmour, Esq. - Chair; Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.); Jonathan H. Parker, Esq.	1		UD	
16-01367	*, *	05/13/2016	12/27/2016	01/17/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Richard Jay Zinman	Law Office of Patrick R. Mahoney	NO	NO	G			x	Robert A. Lombardi	1	10/13/2016	Not	75
16-01375	New York, NY	05/09/2016	04/27/2017	05/08/2017	JP Morgan Securities LLC	ISC	Todd M. Brown	Herskovits PLLC	NO	NO	G	x			Eilyn S. Roth - Chair; Peter McClellan Wright; Roger J. Hawke, Esq.	1	03/22/2017	Not	36
16-01502	Detroit, MI	05/25/2016	03/02/2017	04/06/2017	Customers only	Customer	Kevin C. O'Neill.	Saretsky Hart et al.	NO	NO	G			x	Tracy L. Allen, Esq.	1		Rs	
16-01568	Buffalo, NY	07/01/2016	05/01/2017	07/13/2017	Morgan Stanley & Company LLC; Morgan Stanley Smith Barney LLC	ISC	Louis Anthony Falvo	The Glennon Law Firm	NO	NO	G		x	x	Peter A.P. Dunlop - Chair; Paul Tichauer; Michael P. Hennigan	2	05/04/2017	Not BLH	-3

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
16-01622	Newark, NJ	06/07/2016	12/15/2016	01/05/2017	Morgan Stanley & Company LLC	ISC	Edward Moldaver	Kaufmann Gildin & Robbins	NO	NO	G		x		1	Sam Antar, Esq. - Chair; Marvin L. Schuldiner; Raquel Kraus	09/28/2016	PoS	78
16-01625	New York, NY	06/07/2016	11/29/2016	12/12/2016	UBS Financial Services Incorporated	Bressler Amery & Ross	Scott David Blair	Law Office of Patrick R. Mahoney	NO	NN	G			x	1	Howard L. Sobel		Dec	
16-01662	Dallas, TX	06/09/2016	01/13/2017	01/27/2017	Wells Fargo Advisors LLC	ISC	Matthew Lowe	Kaufmann Gildin & Robbins	NO	NO	G	x	x		1	Jeff Howard Abrams - Chair; Edward S. Koppman; Linda B. Kelly		UD	
16-01693	Denver, CO	06/13/2016	11/16/2016	02/23/2017	AG Edwards & Sons Incorporated	ISC	Kean O. Boucher	AdvisorLaw LLC	NO	OB	G		x		2	Anita Rae Shapiro, Esq. - Chair; Samuel L. McClaren, Esq. (Dissents); Tausha C. Riley	10/11/2016	Not	36
16-01767	Newark, NJ	06/21/2016	04/03/2017	04/24/2017	Morgan Stanley Smith Barney LLC	ISC	John Bernard Burke	Paduano & Weintraub	NO	NO	G	x	x		1	Robert E. Anderson, Esq. - Chair; S. Charles Tabak, JD; Richard D. Chusid, Esq.		UD	
16-01775	Houston, TX	06/21/2016	01/17/2017	01/26/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Patrick J. Biggins	Wilson Law Ltd.	NO	NO	G		x		1	Bertrand C. Moser, Esq. - Chair; David Aaron DeSoto; Robert L. Rolnick	12/16/2016	Not	32
16-01866	Atlanta, GA	06/23/2016	01/11/2017	02/07/2017	Ameriprise Financial Services Incorporated	ISC	David H. Miller	Amato Law Firm	NO	OB	G	x	x		1	Chandler R. Bridges, Esq. - Chair; John F. Allgood, Esq.; Michael J. Stern, Esq.	12/13/2016	PoS	29
16-01969	Boca Raton, FL	07/05/2016	01/09/2018	01/17/2018	FMSBonds Incorporated; Wells Fargo Advisors LLC	Richard & Richard (FMSB); ISC (WFA)	Sean Mark Fetterman	Sallah Astarita & Cox	NO	NO	G/D	x	x	x	1	Richard J. Kaplan, Esq. - Chair; Linda M. Foster-Wells; Jay Eng	12/19/2017	Not	21
16-01979	Miami, FL	07/01/2016	01/12/2017	02/06/2017	UBS International Incorporated; et al.	Bressler Amery & Ross	Veronica Lopez-Lopez	Winget Spadafora Schwartzberg LLP	NO	NO	G	x	x		1	Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.) - Chair; Jeanne Charles Wood; Jonathan H. Parker, Esq.		Rs	
16-02075	Houston, TX	07/18/2016	05/05/2017	05/09/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Leven	Rahn Muntz O'Grady LLP	NO	NO	G			x	1	Daniel J. Pagnano, Esq.		UD	
16-02077	Houston, TX	07/18/2016	06/19/2017	09/05/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William David Leven	Rahn Muntz O'Grady LLP	NO	NO	G		x		1	Raymond C. Kerr, Esq.	06/07/2017	Not	12
16-02078	Houston, TX	07/18/2016	05/08/2017	07/21/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Leven	Rahn Muntz O'Grady LLP	NO	NO	G		x	x	1	Brian James Tagtmeier	04/28/2017	Not	10
16-02079	Houston, TX	07/18/2016	06/07/2017	06/13/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Leven	Rahn Muntz O'Grady LLP	NO	NO	G		x		1	Maryanne M. Esser, Esq.		UD	
16-02082	Miami, FL	07/18/2016	01/25/2017	02/01/2017	Morgan Stanley	ISC	Nelson Frederick Faro	Bressler Amery & Ross	NO	NO	G		x		1	Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.)		UD	
16-02093	Boca Raton, FL	07/12/2016	04/21/2017	05/26/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Kurt F. Sylvia	Gonzalez Shenkman & Buckstein	NO	NO	G	x	x		1	Karen Z. Fischer - Chair; Sandra J. Bakalus; Stephen Kahane, CPA	01/03/2017	Not	108
16-02206	Birmingham, AL	07/29/2016	01/05/2017	03/17/2017	LPL Financial LLC	ISC	Susan Clayton Moore	Bressler Amery & Ross	NO	NO	G	x	x	x	1	Neil Harvey Smith	12/20/2016	Not	16
16-02290	*, *	08/05/2016	01/05/2017	01/12/2017	LPL Financial LLC	ISC	Eric Scott Wishan	AdvisorLaw LLC	NO	NO	G	x	x		1	Laurel Littman Gothelf, MPH		UD	
16-02320	New York, NY	08/02/2016	11/17/2016	12/19/2016	UBS Financial Services Incorporated	ISC	Eric Scott Bodner	Bressler Amery & Ross	NO	NO	G		x	x	1	Robert E. Anderson, Esq.		UD	
16-02347	*, *	08/10/2016	01/06/2017	06/22/2017	Ameriprise Financial Services Incorporated	ISC	Jane An	AdvisorLaw LLC	NO	NO	G/D	x	x		2	George L. Tindall		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
16-02397	New York, NY	08/16/2016	07/07/2017	07/20/2017	AXA Advisors LLC; MSI Financial Services Incorporated	Gordon & Rees (AXAA); ISC (MSIFS)	Michael Hanna	AdvisorLaw LLC	NO	OB	D				1	02/20/2017	Not	137	
16-02424	New York, NY	08/17/2016	01/19/2017	02/24/2017	Morgan Stanley Smith Barney LLC	ISC	Neil Ivan Canell	AdvisorLaw LLC	NO	OB	G		x		2	12/08/2016	PoS	42	
16-02429	Houston, TX	08/12/2016	05/08/2017	05/12/2017	NyLife Securities LLC; et al.	Figari & Davenport	Kristopher Chesley Whitney	None	NO	NO	D				1		Rs		
16-02431	Milwaukee, WI	08/17/2016	01/04/2017	01/30/2017	Ameriprise Financial Services Incorporated on behalf of Ameriprise Advisor Services Incorporated fka H&R Block Financial Services Incorporated; et al.	ISC	Thomas James Freitag	AdvisorLaw LLC	NO	NO	G	x	x	x	2		UD		
16-02457	*, *	08/19/2016	01/24/2017	02/07/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Jay Barry Canell	AdvisorLaw LLC	NO	NN	G		x		1		Dec		
16-02478	New York, NY	08/22/2016	03/02/2017	03/16/2017	Aegis Capital Corporation	Sichenzia Ross et al.	Ramnarain Joseph Jaigobind Jr.	Herskovits PLLC	NO	NO	G	x	x	x	1		UD		
16-02542	*, *	08/29/2016	01/18/2017	03/13/2017	Oppenheimer & Company Incorporated	ISC	Joseph Adrian Motley	None	OB	NO	G	x			1	01/10/2017	PoS	8	
16-02543	New Orleans, LA	08/29/2016	07/19/2017	09/11/2017	MML Investors Services LLC	Stevens & Lee	Paul Vincent Saltaformaggio	Barraso Usdin Law Firm	NO	NO	G	x			1	07/31/2017	Not OAH	-12	
16-02547	Charlotte, NC	08/29/2016	02/07/2017	03/07/2017	Raymond James Financial Services Incorporated	ISC	Dean Bennett Williamson	AdvisorLaw LLC	NO	NO	G	x	x	x	1	12/21/2016	PoS	48	
16-02548	San Juan, PR	08/29/2016	03/14/2017	05/22/2017	UBS Trust Company of Puerto Rico; UBS Financial Services Inc. of Puerto Rico; UBS Financial Services Incorporated	Wilmer Hale LLP; McConnell Valdes LLC	Jose Castillo; Annica Ramirez	Toro Colon et al.	NO	NO	G			x	1	03/08/2017	PoS	6	
16-02582	Newark, NJ	08/31/2016	01/30/2017	02/15/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Lance Alden Lipset	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
16-02666	Dallas, TX	09/08/2016	01/11/2017	05/03/2017	Wells Fargo Advisors LLC; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (WFA)	Joseph Piellucci	AdvisorLaw LLC	NO	NO	G		x		2	12/09/2016	PoS	33	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved			Date	Detail	Days
16-02691	Phoenix, AZ	09/12/2016	01/23/2018	02/06/2018	Charles Schwab & Company Incorporated	Ogletree Deakins et al.	Corbett Michael LaDuke	Tiffany & Bosco	NO	UN	G/D	x	x		Donald Dreyfus - Chair; John H. Fearnow; Alan Peter Scherer	6		UN	
16-02701	Dallas, TX	09/06/2016	01/12/2017	02/01/2017	Wells Fargo Advisors LLC	ISC	Michael Edwin Magruder	Kaufmann Gildin & Robbins	NO	NO	G		x		Eric Ross Cromartie - Chair; Dineo Coleman Gary; Douglas Ken Rudley	1		UD	
16-02728	Columbus, OH	09/15/2016	03/27/2017	04/20/2017	Wellstone Securities LLC; WRP Investments Incorporated	No-show	Matthew Jehn	Carlile Patchen & Murphy	NO	OB	G	x	x		Julius Z. Frager - Chair; Christy K. Radigan; W. Charles Curley	2	01/30/2017	CR	56
16-02769	*, *	09/19/2016	02/09/2017	02/27/2017	National Planning Corporation	ISC	Sean Luigi Covi.	AdvisorLaw LLC	NO	NN	G	x	x		Samuel L. McClaren, Esq.	1			
16-02778	*, *	09/20/2016	02/09/2017	02/27/2017	Morgan Stanley Smith Barney LLC	ISC	Gregg Jason Cuvin	AdvisorLaw LLC	NO	OB	G	x	x		Anna Lascar	1		UD	
16-02781	Miami, FL	09/16/2016	07/06/2017	07/20/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Patrick James Dwyer	Sonn & Erez	NO	NO	G	x	x	x	Steven N. Ainbinder, Esq. - Chair; Barry David Thorpe, Esq. (fka Barry K. Thorpe, Esq.); Keith Robert Santillo	2		UD	
16-02843	Chicago, IL	09/26/2016	03/14/2017	03/20/2017	UBS Financial Services Incorporated	ISC	Bernard J. DelGiorno; Nicholas C. Lomaglio.	Bressler Amery & Ross	NO	NO	G	x			Ray J. Grzebielski, Esq.	1		UD	
16-02858	Los Angeles, CA	09/27/2016	01/25/2017	02/21/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Karl Austin Pettijohn	Rahn Muntz O'Grady LLP	NO	NO	G		x		Robert D. Sussin, Esq.	1	01/16/2017	Not	9
16-02889	Boston, MA	09/29/2016	09/06/2017	09/28/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Christopher D. Stoddard	AdvisorLaw LLC	NO	NO	G		x		John Francis Markuns	1	07/28/2017	Not	40
16-02894	Chicago, IL	09/29/2016	03/17/2017	04/05/2017	Spectrum Investment Services Incorporated; CFD Investments Incorporated	ISC (CFDI); No show (SIS)	Edward F. Camp	AdvisorLaw LLC	NO	NO	G/D	x			Raymond P. Buschmann, Esq.	1	01/31/2017	PoS	45
16-02910	*, *	10/02/2016	04/11/2017	05/24/2017	Securities America Incorporated	Freeman Mathis & Gary	Christina Lindsey Orta; John Cunningham Lindsey	AdvisorLaw LLC	NO	OB	G	x	x		Kirtley M. Thiesmeyer, Esq.	1		UD	
16-02928	*, *	10/04/2016	04/24/2017	05/18/2017	Securities America Incorporated; Edward Jones	Freeman Mathis & Gary (SA); ISC (EJ)	John Cunningham Lindsey	AdvisorLaw LLC	NO	NO	G	x	x		Constance Ellen Boukidis	1	02/02/2017	PoS	81
16-02936	New York, NY	10/05/2016		03/24/2017	National Securities Corporation	Finkelstein & Feil	Christopher Raphael Vasquez	None	OB E	UN	D			Sam Antar, Esq. - Chair; Regina Irena Arnold Mullen; John Nino Brenkovich	0		UN		
16-02943	*, *	10/05/2016	03/23/2017	04/05/2017	Piper Jaffray & Company	ISC	Bruce Grosvenor Allen	AdvisorLaw LLC	NO	NN	G			x	Richard Djokic, Esq.	1		CNF	
16-02944	Dallas, TX	10/05/2016	03/27/2017	04/07/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Glen D. Smith	AdvisorLaw LLC	NO	NN	G	x	x		David A. Schuler	1		Dec	
16-02985	Houston, TX	10/12/2016	05/31/2017	08/07/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kevin Brooks Kugley	Gustafson Nicolai PC	NO	UN	G	x	x		Jeffrey R. Jury - Chair; Brian James Tagtmeier; Timothy L. Andrews	1		UN	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
16-03006	*, *	10/13/2016	08/29/2017	10/06/2017	AXA Advisors LLC; Investors Capital Corporation	ISC	Travis Jerome Hughes	AdvisorLaw LLC	NO	OB	G/D	x	x		Donald Dreyfus	3	07/18/2017	Not	42
16-03013	Boca Raton, FL	10/12/2016	05/23/2017	06/02/2017	Summit Alliance Securities LLC nka Argentus Securities LLC	No-show	Keith Eric Singer	Schoepl Law PA	NO	NO	G		x		Paul J. Burkhart - Chair; Ronald Stephen Robins; Jeremy M. Colvin	1	03/30/2017	PoS	54
16-03042	New York, NY	10/18/2016	03/16/2017	03/27/2017	JP Morgan Securities LLC; RBC Capital Markets LLC	Small Calvo PC (JPMS); ISC (RBCCM)	Eric Anthony Stubbs	AdvisorLaw LLC	NO	NO	G	x	x	x	Joan M. Traub, Esq.	1	03/02/2017	Not	14
16-03055	*, *	10/19/2016	05/30/2017	06/12/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Nancy Lynne Bello	AdvisorLaw LLC	NO	NO	G	x	x		Madelon M. Rosenfeld, Esq.	1		UD	
16-03056	*, *	10/19/2016	05/11/2017	06/01/2017	H. Beck Incorporated; UBS Financial Services Incorporated	Keesal Young & Logan (UBSFS); ISC (HB)	Travis John Hudak	AdvisorLaw LLC	NO	NO	G	x	x	x	Michael Lancaster Garcia	1		UD	
16-03058	*, *	10/19/2016	05/02/2017	05/11/2017	TD Ameritrade Incorporated	Kutak Rock LLP	Joseph Brian Mondell	AdvisorLaw LLC	NO	NO	G	x	x		Michael H. DuBoff, Esq.	1		UD	
16-03061	*, *	10/19/2016	04/10/2017	04/17/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Rolf Maile	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	03/02/2017	PoS	39
16-03081	Pittsburgh, PA	10/20/2016	05/24/2017	06/05/2017	Customers only	Customer	Robert A. Lieb	None	OB	OB	G/D	x			Michael D. McDowell - Chair; Cheryl Esposito Kaufman; John P. Arbiola	2		Rs	
16-03096	*, *	10/24/2016	08/25/2017	08/22/2017	New England Securities Incorporated; NEXT Financial Group Incorporated	ISC	Stephen Anthony Dellelo	AdvisorLaw LLC	NO	OB	G	x	x		Colette Manoil, Esq.	2		UD	
16-03102	Tampa, FL	10/21/2016	03/22/2017	03/30/2017	HD Vest Investment Services Incorporated	ISC	Michael Vincent Addessi.	AdvisorLaw LLC	NO	NN	G		x		Edith N. Dinneen, Esq.	1		Dec	
16-03104	Tampa, FL	10/24/2016	05/02/2017	05/11/2017	Raymond James Financial Services Incorporated	ISC	Stephen Overton	AdvisorLaw LLC	NO	NO	G	x	x		Richard S. Zaifert, Esq.	1	03/03/2017	PoS	60
16-03108	Denver, CO	10/21/2016	01/23/2018	04/18/2018	AXA Advisors LLC	ISC	Derek Nathan Eichenwald	AdvisorLaw LLC	NO	NO	G	x	x	x	William F. Skewes, Esq.	1	10/10/2017	Not	105
16-03111	*, *	10/24/2016	05/03/2017	06/12/2017	Morgan Stanley & Company LLC; UBS Financial Services Incorporated	Keesal Young & Logan (UBSFS); ISC (MS)	Richard Vincent Bertain Jr.	AdvisorLaw LLC	NO	OB	G/D	x			David J. Anderson	2		UD	
16-03124	Chicago, IL	10/25/2016	03/31/2017	04/10/2017	Customers only	Customer	Leslie Benjamin Goldstein	Saretsky Hart et al.	NO	NO	G		x		Michael F. Jordan, Esq.	1		Rs	
16-03126	Detroit, MI	10/25/2016	08/31/2017	09/08/2017	Vestax Securities Corporation	ISC	David Martin Boike	AdvisorLaw LLC	NO	UN	D				Gail Katherine Barski-McCracken	1		UN	
16-03130	New York, NY	10/26/2016	07/07/2017	07/21/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John F. Erdmann III	Huberman & Associates	NO	NO	G		x	x	Jack Friedman, Esq.	1	04/25/2017	Not	73

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000/2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
16-03133	*, *	10/26/2016	05/12/2017	05/25/2017	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Paul Joseph McIntyre	AdvisorLaw LLC	NO	NO	G			x	Samuel L. McClaren, Esq.	1	03/29/2017	PoS	44
16-03135	Boston, MA	10/26/2016	05/08/2017	06/01/2017	Banc of America Investment Services Incorporated; Quick & Reilly Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated; Citigroup Global Markets Incorporated	Bressler Amery & Ross	Thomas Frances Alessi	AdvisorLaw LLC	NO	NO	D				James R. Collins, Esq.	1	03/16/2017	Not	53
16-03138	Charlotte, NC	10/26/2016	08/18/2017	08/29/2017	Morgan Stanley; Morgan Stanley & Company LLC	ISC	Derek Lee Copeland	AdvisorLaw LLC	NO	NO	G	x	x		Lisa Bass Morris, RN, Esq.	1		UD	
16-03141	San Francisco, CA	10/26/2016	04/24/2017	11/20/2017	Wells Fargo Advisors LLC	ISC	Michael Anthony Destro	Polsinelli LLP	NO	OB	G	x			Dean J. Dietrich, Esq. - Chair; Jennifer Schwartz; Timothy P. Bogan, CPA	1	08/10/2017	PoS OAH	
16-03159	Minneapolis, MN	10/27/2016	06/12/2017	08/25/2017	Walnut Street Securities Incorporated; NEXT Financial Group Incorporated; The O.N. Equity Sales Company	ISC	Jeffrey David Thoele	AdvisorLaw LLC	NO	NO	D				Brett W. Olander, Esq.	1		UD	
16-03192	*, *	11/01/2016	06/20/2017	07/10/2017	HBW Securities LLC	ISC	Charles Paul Reinhold	AdvisorLaw LLC	NO	OB	G	x	x		Richard J. Stall, Jr., Esq.	1	04/04/2017	PoS	77
16-03194	*, *	11/01/2016	06/06/2017	06/26/2017	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (CGM); Keesal Young & Logan (UBSFS)	Dale Thomas Miller	AdvisorLaw LLC	NO	OB	G		x		Philip Aaron Tymon, JD	1	03/09/2017	PoS	89
16-03211	*, *	11/02/2016	05/18/2017	06/01/2017	RBC Capital Markets LLC	Keesal Young & Logan	Jeffrey Aaron Horn	AdvisorLaw LLC	NO	NO	G		x		Morris S. Getzels, Esq.	1	04/21/2017	PoS	27
16-03212	*, *	11/02/2016	04/12/2017	04/19/2017	LPL Financial LLC	ISC	Martin James Flores Jr.	Law Office of Patrick R. Mahoney	NO	NO	G	x	x	x	Robert F. Saint-Aubin, Esq.	1		UD	
16-03213	St. Louis, MO	11/02/2016	05/22/2017	05/31/2017	Customers only	Customer	Thomas J. Hake	Law Offices of J.M. Swartz	NO	NO	G	x	x	x	Julius Z. Frager - Chair; Sheldon Weinhaus; Joseph K. Marshall	1		Rs	
16-03214	Detroit, MI	11/02/2016	05/08/2017	05/17/2017	Customers only	Customer	Daryl Debol	Reminger Co. LPA	NO	NO	G	x	x		Patrick R. Sughroue, Esq. - Chair; Jeffrey Mark Bauer, Esq.; Ann Wilhelmina Kuppe	1		Rs	
16-03217	Miami, FL	11/02/2016	08/08/2017	08/21/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Peter Zubizarreta	AdvisorLaw LLC	NO	NO	G			x	Steven R. Reiningger, Esq.	1	04/04/2017	PoS	126
16-03219	New York, NY	11/03/2016	05/22/2017	05/30/2017	Legend Securities Incorporated	No-show	Valery Scancellia	None	NO	NN	D				Julian F. Santos, Esq. - Chair; Robert Elliot Harrison; Joel Levinson, Esq.	1		CNF	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.s.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
16-03224	Boca Raton, FL	11/03/2016	09/18/2017	10/09/2017	WMA Securities Incorporated; World Group Securities Incorporated; LPL Financial LLC	ISC (WGS, LPLF); No-show (WMAS)	Vivienne Karin Schleu	AdvisorLaw LLC	NO	NO	G	x	x		Will Murphy, Esq	2		UD	
16-03244	New York, NY	11/07/2016	07/24/2017	09/07/2017	AG Edwards & Sons Incorporated; Next Financial Group Incorporated; Citigroup Global Markets Incorporated	Bressler Amery & Ross (AGE&S); ISC (NFG)	Craig James Ferrantino	AdvisorLaw LLC	NO	OB	G/D	x	x		William G. Binckes, Esq.	3	03/22/2017	Not	124
16-03245	Newark, NJ	11/07/2016	05/18/2017	05/30/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Christian Barrett	AdvisorLaw LLC	NO	NO	G		x		Patrick Richard Westerkamp, Esq.	1	03/08/2017	Not	71
16-03250	*, *	11/07/2016	05/26/2017	06/12/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Howard Keller	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	03/23/2017	PoS	64
16-03259	New York, NY	11/08/2016	06/29/2017	08/29/2017	AXA Advisors LLC; The Equitable Life Assurance Society of The United States	ISC	Paul Jacques Stawinski	AdvisorLaw LLC	NO	NO	G/D	x			Ellyn S. Roth	1	04/03/2017	Not	87
16-03262	Miami, FL	11/08/2016	05/17/2017	07/07/2017	Chase Investment Services Corporation; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (CIS)	Randall Jeffrey Bodner	AdvisorLaw LLC	NO	NO	G/D	x	x		Christopher J. Klein, Esq.	1	05/05/2017	Not	12
16-03277	Wichita, KS	11/08/2016	07/18/2017	07/28/2017	UBS Financial Services Incorporated; Prudential Equity Group LLC	Bressler Amery & Ross (UBSFS); Law Offices of Alan S. Brodherson (PEG)	Thomas Henry Kirk III	AdvisorLaw LLC	NO	OB	D				Mark S. Foster, Esq.	1	03/08/2017	PoS	132
16-03312	Dallas, TX	11/08/2016	03/15/2017	06/23/2017	Colonial Brokerage Incorporated	ISC	Lori Ann Welborn	Schneider Miller Reynolds PC	NO	NO	G	x			Joseph Neal Richardson	1		UD	
16-03322	Boca Raton, FL	11/14/2016	06/22/2017	06/30/2017	Customers only	Customer	Marc Morell; David Scott Powers; Andrew Marshall Zentmayer	Greenberg Traurig PA	NO	NO	G	x	x	x	Mark C. Perry, Esq. - Chair; Gilbert A. Schnirman, MD; Jeanne Charles Wood	1		Rs	
16-03341	Detroit, MI	11/15/2016	06/02/2017	06/30/2017	National Planning Corporation; Voya Financial Advisors Incorporated	ISC	Steven Joseph Case	AdvisorLaw LLC	NO	NO	G/D	x	x		Lee Hornberger, JD	1	04/06/2017	SD	57

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
16-03348	New York, NY	11/14/2016	06/20/2017	07/03/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Eric Francis Hernandez	Law Office of Brian Kennedy	NO	NO	G		x		Sandra J. Mullings, Esq. - Chair; Joan M. Traub, Esq.; Joanne Basso Mack	1	05/25/2017	Not	26
16-03362	Boca Raton, FL	11/16/2016	04/17/2017	04/26/2017	Customers only	Customer	Mark Eric Zuckerman	Stein & Stein	NO	NO	G			x	Paul J. Burkhart - Chair; Mark C. Perry, Esq.; Robert S. Natiss	1		Rs	
16-03366	Newark, NJ	11/17/2016	08/01/2017	09/12/2017	Cetera Advisors LLC	ISC	Phillip Gershon	Winget Spadafora & Schwartzberg	NO	NO	G	x			Louis H. Miron, Esq.	1	05/25/2017	Not	68
16-03371	New York, NY	11/18/2016	11/09/2017	12/22/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Phillip Gershon	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		David John Reilly	1	10/03/2017	Not	37
16-03403	*, *	11/21/2016	11/07/2017	02/01/2018	Woodbury Financial Services Incorporated	ISC	Jeffrey Samuel Gurman	The Law Office of K. Galbraith LLC	NO	OB	G		x		Kendall C. Reed, Esq.	2	10/17/2017	CR	21
16-03406	*, *	11/21/2016	06/06/2017	06/21/2017	Piper Jaffray & Company	ISC	Bryan James Engbretson	AdvisorLaw LLC	NO	OB	G	x	x		Michael Lancaster Garcia	1	06/02/2017	CR	4
16-03420	New York, NY	11/22/2016	05/19/2017	05/25/2017	Wells Fargo Advisors LLC	ISC	Kenneth W. Carter	Law Offices of Jonathan E. Neuman	NO	NO	G	x	x		Morton S. Bunis, Esq.	1	03/22/2017	PoS	58
16-03434	Atlanta, GA	11/23/2016	05/09/2017	05/24/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Garry Wayne Bridgeman	AdvisorLaw LLC	NO	NO	G	x	x		Harry G. Mason, JD	1	03/21/2017	PoS	49
16-03444	Dallas, TX	11/23/2016	06/01/2017	06/13/2017	Customers only	Customer	Robert Jamison Packer	Riker Danzig et al.	NO	NO	G		x	x	Eric Ross Cromartie	1		Rs	
16-03445	Houston, TX	11/23/2016	07/31/2017	08/15/2017	Customers only	Customer	Alfred Gary Kovacs	Riker Danzig et al.	NO	NO	G		x		Raymond C. Kerr, Esq.	1		Rs	
16-03452	New York, NY	11/22/2016	06/23/2017	07/13/2017	Wells Fargo Advisors LLC	Stevens & Lee	Kenneth W. Carter	Law Offices of Jonathan E. Neuman	NO	NO	G	x	x		Arthur Neil Tolciss, Esq.	1	06/06/2017	PoS	17
16-03459	Atlanta, GA	11/28/2016	07/17/2017	07/20/2017	Morgan Stanley; Ameriprise Financial Services Incorporated	ISC	Carl Blair Pritchett III	AdvisorLaw LLC	NO	NO	G		x		Harvey R. Linder, Esq.	1	07/06/2017	PoS	11
16-03478	Detroit, MI	11/29/2016	07/27/2017	08/10/2017	Securities America Incorporated	Saretsky Hart et al.	Andrew L. Schade	Hubbard Snitchler & Parzianello	NO	UN	D				Kenneth J. Safran, Esq. - Chair; Erane C. Washington-Kendrick; D. Michael Kratchman, Esq.	1		UN	
16-03496	New Yoirk, NY	12/01/2016	07/20/2017	08/21/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Charles Dara Day	Bressler Amery & Ross	NO	NO	G		x		Lynne M. Reid-McQueen, Esq.	1	04/24/2017	Not	87
16-03508	*, *	12/01/2016	07/21/2017	08/30/2017	Securities America Incorporated; Parkland Securities LLC; Cetera Advisors LLC	Winget Spadafora & Schwartzberg (SA); ISC (PS, CA)	Daniel George McPherson	AdvisorLaw LLC	NO	OB	G/D			x	Bernard F. Vail	1	05/30/2017	PoS	52
16-03521	Orlando, FL	12/05/2016	01/22/2018	02/01/2018	Wunderlich Securities Incorporated; Wells Fargo Advisors LLC	ISC	Ryan Christopher Wyatt	Sallah Astarita & Cox	NO	NO	G	x	x		Marc T. Danon, Esq. - Chair; John Briggs; Ken Ziesenheim, Esq.	1		UD	
16-03542	Boca Raton, FL	12/06/2016	06/07/2017	06/27/2017	Kovack Securities Incorporated	ISC	Michael David Newton	Jenks & Harvey	NO	OB	G	x	x	x	Steven N. Ainbinder, Esq. - Chair; Will Murphy, Esq.; Tina Scott Polsky	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
16-03560	Boca Raton, FL	12/07/2016	05/15/2017	05/17/2017	Morgan Stanley & Company LLC	ISC	Wayne Allen Meland III	AdvisorLaw LLC	NO	NO	G			x	Edward R. Niederriter, Esq.	1	03/15/2017	PoS	61
16-03567	*, *	12/07/2016	06/08/2017	07/11/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Phillip Wayne Scott	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	05/31/2017	PoS	8
16-03579	*, *	12/08/2016	09/11/2017	11/14/2017	Robert W. Baird & Company Incorporated; Wells Fargo Advisors LLC	ISC	Kenneth James Meyers	AdvisorLaw LLC	NO	OB	G/D	x	x	x	Kevin C. Coleman, JD	2	05/03/2017	PoS	131
16-03589	Columbia, SC	12/02/2016	06/12/2017	10/04/2017	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	William Bordon Danzell	None	NO	NO, NN	G	x		x	James C. Hoover, Esq.	1		CNF	
16-03593	*, *	12/09/2016	06/21/2017	08/16/2017	Edward Jones	Keesal Young & Logan	Douglas Bielefeldt	AdvisorLaw LLC	NO	NO	G		x	x	Jeffrey M. Allen, Esq.	1	04/27/2017	PoS	55
16-03595	Chicago, IL	12/09/2016	02/23/2017	03/06/2017	UBS Financial Services Incorporated	ISC	Sean P. Moran	Bressler Amery & Ross	NO	NO	G	x	x		Susan L. Walker, Esq.	1	02/16/2017	CR	7
16-03662	Columbus, OH	12/15/2016	05/23/2017	07/31/2017	Raymond James Financial Services Incorporated	ISC	Traci L. Born	Carlile Patchen & Murphy	NO	NO	G	x	x		Lynn Hirschfeld Brahin, Esq. - Chair; Nelson E. Genshaft, Esq.; Erick R. Zanner	1	06/14/2017	OtS OAH	-22
16-03676	Detroit, MI	12/19/2016	09/08/2017	10/13/2017	Wells Fargo Advisors LLC	ISC	James Benjamin White	Hertz Schram PC	NO	NO	G			x	Michael James Malone - Chair; Tracy L. Allen, Esq.; Jack L. Somers	1	12/20/2016	Not	262
16-03720	*, *	12/22/2016	07/12/2017	07/25/2017	Ameriprise Financial Services Incorporated	ISC	Nihaal Mohan Rao	AdvisorLaw LLC	NO	NO	G	x	x	x	Howard R. Gaines, Esq.	1	06/05/2017	PoS	37
16-03723	Boca Raton, FL	12/22/2016	08/08/2017	08/16/2017	Kovack Securities Incorporated	ISC	Ricardo Latta	Jenks & Harvey	NO	UN	G/D			x	David Rich - Chair; Gary M. Landau, Esq.; Howard N. Kahn, Esq.	1		UN	
17-00020	*, *	12/30/2016	01/15/2018	02/09/2018	Larson Financial Securities LLC	ISC	Forrest Michael Friedow	AdvisorLaw LLC	NO	NO	G			x	Anita Rae Shapiro, Esq.	1	09/05/2017	Not	132
17-00040	Boston, MA	12/30/2016	06/23/2017	10/16/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Alexander Soukup	Ruberto Israel & Weiner	NO	OB	G	x	x		Robert J. Ambrogi, Esq.	2		UD	
17-00090	Detroit, MI	01/09/2017	09/12/2017	10/23/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Maclone Gray	Hubbard Snitchler & Parzianello	NO	OB	G/D	x			Robert J. Scafuri, Esq.	2	07/07/2017	OtS	67
17-00096	Tampa, FL	01/10/2017	09/26/2017	10/21/2017	Prime Capital Services Incorporated; National Securities Corporation; Royal Alliance Associates Incorporated	Wilson Elser et al. (NS); ISC (RAA); No-show (PCS)	Steven Joseph Gilbert	AdvisorLaw LLC	NO	NO	G/D		x	x	Muriel Desloovere, Esq.	1	03/15/2017	Not	195
17-00098	San Juan, PR	01/10/2017	07/19/2017	07/28/2017	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	Wilmer Cutler et al.; McConnell Valdes LLC	Anita Brennan; Marina Tudela	Toro Colon et al.	NO	NO	G	x	x	x	Gerald Silverman, Esq.	1	06/08/2017	PoS	41

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.1(b) Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved			Date	Detail	Days
17-00114	*, *	01/11/2017	08/02/2017	08/30/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Peter R. de Castro	None	NO	NO	G	x	x		William Michael Samsel	1	06/09/2017	PoS	54
17-00128	Newark, NJ	01/10/2017	10/12/2017	11/07/2017	Comprehensive Asset Management and Servicing Incorporated	ISC	Thomas Joseph O'Connell, Jr.	Mahr & Mahr	NO	NO	D				Edward W. Morris, Jr., Esq. - Chair; Joan M. Traub, Esq.; Joseph Antim Galati	1	05/31/2017	Not	134
17-00146	New York, NY	01/17/2017	06/16/2017	06/30/2017	Wells Fargo Advisors LLC	ISC	David Rosenberg	Martin LLP	NO	NO	G	x	x		Joan M. Traub, Esq.	1		UD	
17-00159	Boston, MA	01/11/2017	11/01/2017	11/07/2017	Customers only	Customer	Michael James Labrie	Wichins Cosentino & Novins	OB	OB	G		x		Frank Sanclemente - Chair; Ronald L. Cheney, Esq.; Merriann Panarella	1		Rs	
17-00172	Wilmington, DE	01/19/2017	08/14/2017	09/05/2017	Cetera Investment Services LLC	ISC	Thomas J. Lindia III	AdvisorLaw LLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1		UD	
17-00177	Marquette, MI	01/20/2017	09/26/2017	09/29/2017	Wells Fargo Advisors LLC	Greenberg Traurig LLP	Samuel Johnathan Bennett	AdvisorLaw LLC	NO	OB	D				Terry F. Peppard, Esq.	2	08/04/2017	CR	53
17-00207	Washington, DC	01/24/2017	08/24/2017	09/28/2017	NyLife Securities LLC	Morgan Lewis & Bockius	Bradley Robert Burton	AdvisorLaw LLC	NO	NO	G	x	x		Olivia Milbank Farrar, JD	1	06/14/2017	PoS	71
17-00219	Baltimore, MD	01/23/2017	03/26/2018	04/03/2018	Morgan Stanley Smith Barney LLC; et al.	ISC	Brandon Christopher Oliver	Offit Kurman PA	NO	NO	G		x		James W. (Jim) Geiger - Chair; Ellen F. Kandell; Timothy J. Wright	1		Rs	
17-00224	*, *	01/26/2017	09/21/2017	10/11/2017	AG Edwards & Sons Incorporated nka Wells Fargo Advisors LLC	ISC	James Raymond Everitt	AdvisorLaw LLC	NO	NN	G	x	x		Herbert Liberman	1		Dec	
17-00225	Omaha, NE	01/26/2017	10/09/2017	12/18/2017	Cetera Investment Services LLC	ISC	Jon Ronald Springer	AdvisorLaw LLC	NO	NO	G		x	x	Charles G. Michaels, Esq.	1	08/09/2017	Not	61
17-00236	*, *	01/27/2017	10/02/2017	03/20/2018	Imperial Capital LLC	Keesal Young & Logan	Mark Lawrence Eshman	AdvisorLaw LLC	NO	OB	G	x			Nina Vallion, JD	2	08/07/2017	Not	56
17-00238	*, *	01/27/2017	09/07/2017	10/11/2017	QA3 Financial Corporation	No-show	James Robert Files	AdvisorLaw LLC	NO	NO	G	x	x		Kevin C. Coleman, JD	2	07/20/2017	PoS	49
17-00289	Newark, NJ	02/03/2017	05/31/2017	06/14/2017	UBS Financial Services Incorporated	ISC	Kathleen McNicholas Entwistle	Bressler Amery & Ross	NO	NO	G	x			Louis H. Miron, Esq.	1	05/19/2017	CR	12
17-00293	*, *	02/03/2017	08/30/2017	09/08/2017	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Michelle M. Peng	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	07/25/2017	PoS	36
17-00304	*, *	02/06/2017	09/15/2017	10/12/2017	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (AGE&S, WFCS)	Thomas Roper Fields III	AdvisorLaw LLC	NO	NO	G		x	x	Neil Harvey Smith	1	06/26/2017	Not	81
17-00306	New York, NY	02/06/2017	08/03/2017	08/15/2017	Wells Fargo Clearing Services LLC	ISC	David Rosenberg	Martin LLP	NO	NO	G		x		William G. Binckes, Esq.	1	06/12/2017	Not	52
17-00309	*, *	02/06/2017	08/07/2017	09/12/2017	Thrivent Investment Management Incorporated	Bryan Cave LLP	Chad Everett Staskall	AdvisorLaw LLC	NO	UN	D				Dean J. Dietrich, Esq.	1		UN	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
17-00319	Milwaukee, WI	02/06/2017	09/08/2017	09/21/2017	Prudential Equity Group LLC	Law Offices of Alan S. Broderson	Mark Tollie Gierl	AdvisorLaw LLC	NO	OB	D				Robert J. Scafuri, Esq.	1	06/27/2017	OtS	73
17-00333	Atlanta, GA	02/07/2017	11/08/2017	11/13/2017	Raymond James & Associates Incorporated	ISC	Anthony Dye	Wiard Guerra King PL	NO	NO	G		x		Lita S. Menkin, JD - Chair; Gary J. Leshaw, JD; Royce Alan Burns	1	07/06/2017	PoS	125
17-00369	Washington, DC	02/10/2017	06/19/2017	07/06/2017	UBS Financial Services Incorporated	ISC	Ambrose Powell Hill	Bressler Amery & Ross	NO	NO	G	x	x	x	Douglas Earl McLaren, Esq.	1	06/05/2017	PoS	14
17-00371	*, *	02/10/2017	10/24/2017	11/14/2017	Ameriprise Financial Services Incorporated; The Prudential Insurance Company of America	Law Office of Alan S. Broderson (PIoA); ISC (AFS)	Robert Dean Pippenger Jr.	AdvisorLaw LLC	NO	NO	G		x	x	Stuart K. Furman	1	06/20/2017	PoS	126
17-00373	Boca Raton, FL	02/08/2017	11/10/2017	11/21/2017	Securities America Incorporated; First Allied Securities Incorporated	Wiard Guerra King PL (SA); ISC (FAS)	Jeremy David Gottlieb	Schoepl Law PA	NO	NO	G			x	William E. Schneider - Chair; William Kent Brown, Esq.; Alisa Matire	1	08/07/2017	OtS	95
17-00397	Wilmington, DE	02/14/2017	10/16/2017	11/27/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kent Cope Habecker	AdvisorLaw LLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	05/30/2017	Not	139
17-00402	Washington, DC	02/14/2017	09/15/2017	10/02/2017	Citigroup Global Markets Incorporated; Morgan Stanley	Bressler Amery & Ross (CGM); ISC (MSSB)	Andrew Lief Rieger	AdvisorLaw LLC	NO	NO	G	x	x		Olivia Milbank Farrar, JD	1	07/20/2017	PoS	57
17-00403	New York, NY	02/14/2017	07/17/2018	08/16/2018	Morgan Stanley Smith Barney LLC; et al.	ISC; Customer	Socrates E. Cruz	Herrick Feinstein LLP	NO	NO	G		x		Howard J. Stiefel, Esq. - Chair; Anna Lascar; Nunzio Garzino	2		Rs	
17-00405	*, *	02/14/2017	11/13/2017	01/12/2018	National Planning Corporation; QA3 Financial Corporation	Freeman Mathis & Gary (NP); No-show (QA3F)	Daniel Shiek Ahmad	AdvisorLaw LLC	NO	NO	G	x	x	x	John J. Fitzpatrick, Jr., Esq.	4	08/15/2017	Not	90
17-00416	Boca Raton, FL	02/15/2017	04/16/2018	05/03/2018	Morgan Stanley Smith Barney LLC; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (MSSB)	Jeremy Lansat; Joel Lansat.	Herskovits PLLC	NO	OB	G/D	x		x	Monroe Mitchel - Chair; Mark C. Perry, Esq.; Ronald F. Rohe, Esq.	1	02/12/2018	PoS	63
17-00436	New York, NY	02/16/2017	08/11/2017	08/22/2017	Park Avenue Securities LLC	ISC	Adam S. Greenstein	AdvisorLaw LLC	NO	NO	G	x	x		Karen Isabel Bedrosian-Richardson	1		UD	
17-00438	*, *	02/16/2017	10/17/2017	11/21/2017	Questar Capital Corporation	Faegre Baker Daniels LLP	Robert Carlson	AdvisorLaw LLC	NO	NO	G	x		x	Richard E. Miley	1	06/22/2017	PoS	117
17-00442	Augusta, ME	02/20/2017	07/18/2017	10/18/2017	Voya Financial Partners LLC	ISC	James Edgar Bradley	AdvisorLaw LLC	NO	NO	G		x		Samuel Harrison Chorches, Esq.	1	05/30/2017	Not	49
17-00443	Tampa, FL	02/10/2017	07/11/2017	07/18/2017	Allen & Company of Florida Incorporated	Stanton Cronin Law Group PL	Steven P. McTaggart	Gray Robinson PA	NO	NO	G		x		Richard S. Zaifert, Esq. - Chair; Philip L. Manczak; Patrick D. King	1		UD	
17-00446	Baltimore, MD	02/20/2017	08/22/2017	09/14/2017	Deutsche Bank Securities Incorporated	Paduano & Weintraub LLP	Theodore Cooke Waters III	AdvisorLaw LLC	NO	NO	G		x		William J. Hirsch, Esq.	1		UD	
17-00447	Baltimore, MD	02/20/2017	10/27/2017	11/15/2017	Deutsche Bank Securities Incorporated	Paduano & Weintraub LLP	Brett Douglas Clifford	AdvisorLaw LLC	NO	NO	G	x	x		Brenda J. Stovall, Esq.	1	08/09/2017	PoS	79

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-00457	, *	02/20/2017	11/20/2017	11/30/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Edward Schulten	AdvisorLaw LLC	NO	NO	G	x	x	x	1	06/21/2017	PoS	152	
17-00472	Tampa, FL	02/21/2017	10/19/2017	10/31/2017	Morgan Stanley & Company Incorporated	ISC	David Jay Bass	Baritz & Colman	NO	NO	G	x	x	x	1	06/29/2017	OtS	112	
17-00509	, *	02/24/2017	10/03/2017	10/13/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Scott Daniel Hood	AdvisorLaw LLC	NO	NO	G	x	x	x	1	08/08/2017	Not	56	
17-00511	, *	02/24/2017	11/01/2017	11/17/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Bradley Jay Barnblatt	AdvisorLaw LLC	NO	NO	G		x		1	07/31/2017	PoS	93	
17-00516	San Francisco, CA	02/24/2017	11/28/2017	12/19/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	William Rex Bahney; Sandra Rae Dalton; Michael S. Treinen	Bressler Amery & Ross	NO	NO	G	x	x		2	08/01/2017	CR	119	
17-00532	, *	02/28/2017	10/26/2017	12/28/2017	UBS Financial Services Incorporated	Keesal Young & Logan	Aaron A. DelSignore	Snell & Wilmer LLP	NO	OB	G/D	x		x	2		UD		
17-00533	Tampa, FL	02/28/2017	10/11/2017	10/31/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Andrew Smith	AdvisorLaw LLC	NO	OB	G	x	x		1	06/28/2017	OtS	105	
17-00545	Philadelphia, PA	03/01/2017	12/11/2017	12/21/2017	Prudential Equity Group LLC; UBS Financial Services Incorporated	Law Office of Alan S. Brodherson (PEG); Bressler Amery & Ross (UBSFS)	Thomas Joseph McInerney	AdvisorLaw LLC	NO	NO	G	x	x		1	06/08/2017	Not	186	
17-00550	, *	03/01/2017	09/19/2017	09/29/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Edward Graham	AdvisorLaw LLC	NO	NO	G	x	x		1	08/23/2017	Not	27	
17-00555	, *	03/02/2017	10/09/2017	11/03/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	J. Graydon Coghlan	AdvisorLaw LLC	NO	NO	G	x	x	x	2	08/09/2017	Not	61	
17-00561	Philadelphia, PA	03/03/2017	12/18/2017	01/10/2018	Northwestern Mutual Investment Services LLC; Wells Fargo Clearing Services LLC	Marshall Dennehey et al. (NMIS); ISC (WFCS)	Timothy Martin Foster	AdvisorLaw LLC	NO	NO	G/D	x	x		1	09/19/2017	PoS	90	
17-00575	Philadelphia, PA	03/06/2017	10/12/2017	10/23/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Gregory Patrick Hayes	AdvisorLaw LLC	NO	UN	D				1		UN		
17-00579	Tampa, FL	03/06/2017	10/05/2017	10/17/2017	Wells Fargo Clearing Services LLC	ISC	Nancy Kimball Mellon	AdvisorLaw LLC	NO	NO	G	x	x		1	07/20/2017	OtS	77	
17-00589	New York, NY	03/07/2017	08/02/2017	08/21/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Paul Scott Selvin	Law Office of Patrick R. Mahoney	NO	NO	G	x	x		1		UD		
17-00624	Tampa, FL	03/08/2017	09/06/2017	10/02/2017	G.F. Investment Services LLC	Wiand Guerra King PL	Geoffrey A. Frazier	Stark & Stark	NO	NO	G	x	x	x	1	07/18/2017	PoS	50	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-00626	*, *	03/09/2017	10/17/2017	10/25/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kevin Harold Wilson	AdvisorLaw LLC	NO	NO	G	x	x		David F. Barrett	1	06/08/2017	PoS	131
17-00666	Birmingham, AL	03/15/2017	12/11/2017	01/26/2018	Variable Annuity Life Insurance Company; VALIC Financial Advisors Incorporated	Rollin Braswell Fisher LLC (VALICFA); No-show (VALI)	Brett Andrew Laferrera	None	NO	NO	G/D	x	x		Barbara Black, Esq. - Chair; Robert N. Kohn; Terresa L. Beaman	3	09/26/2017	PoS	76
17-00670	Orlando, FL	03/10/2017	10/25/2017	11/01/2017	First Allied Securities Incorporated	ISC	Stephen Gerard Rossi Sr.	RJM Counsel PLLC	NO	NO	G		x		Martin M. Van Luven	1	08/04/2017	Not	82
17-00727	*, *	03/21/2017	11/09/2017	12/11/2017	Morgan Stanley & Company LLC; Morgan Stanley DW Incorporated	ISC	Richard Brian French	AdvisorLaw LLC	NO	NO	G	x	x		Michael E. Rohde, Esq.	1	08/09/2017	Not	92
17-00734	*, *	03/21/2017	02/28/2018	03/20/2018	Goldman Sachs & Company	Cohen & Gresser	Kevin Dale Kimery	AdvisorLaw LLC	NO	NO	G	x			Stephen H. Biller, Esq.	1	01/03/2018	Not	56
17-00736	Detroit, MI	03/21/2017	10/31/2017	11/16/2017	Securities America Incorporated	Saretsky Hart et al.	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	NO	G	x	x		Patrick R. Sughroue, Esq.	1	09/05/2017	Not	56
17-00742	Washington, DC	03/22/2017	10/10/2017	10/16/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David Alex Ciccone	AdvisorLaw LLC	NO	NO	G	x			Matthew Stephen Duchesne	1	07/19/2017	PoS	83
17-00743	Atlanta, GA	03/22/2017	09/28/2017	10/20/2017	UBS Financial Services Incorporated of Puerto Rico	Bressler Amery & Ross	Frank Julio Carrasco	Toro Colon et al.	NO	NO	G	x	x		Mollie Wagner Neal, Esq.	1	08/02/2017	PoS	57
17-00760	Newark, NJ	03/24/2017	09/28/2017	10/13/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Richard Ralph Lafferty	AdvisorLaw LLC	NO	NO	G	x	x		Philip Levine, CPA, Esq.	1	09/07/2017	Not	21
17-00761	New York, NY	03/24/2017	12/05/2017	06/21/2018	1717 Capital Management Company; Metropolitan Life Insurance Company	Coss & Momjian (1717CM); No-show (MLI)	Michael Scott Luftman	AdvisorLaw LLC	NO	OB	G/D	x	x	x	Martin Mushkin, Esq.	1	08/15/2017	Not	112
17-00775	Hartford, CT	03/27/2017	09/11/2017	12/08/2017	G.R. Phelps & Company Incorporated	ISC	Barry Franklin Johnson	AdvisorLaw LLC	NO	NO	G		x		Diane Ciccone, Esq.	1	09/11/2017	Not	0
17-00789	*, *	03/28/2017	12/14/2017	12/22/2017	Wells Fargo Advisors LLC	ISC	Michael Vernon Biggs	AdvisorLaw LLC	NO	UN	D				James A. McIntosh	1		UN	
17-00796	New York, NY	03/29/2017	06/20/2017	07/05/2017	UBS Financial Services Incorporated	ISC	Karen Ann Kurrasch	Bressler Amery & Ross	NO	NO	G	x	x		Joseph J. Arata, Esq.	1		UD	
17-00812	*, *	03/29/2017	10/24/2017	01/17/2018	Morgan Stanley DW Incorporated	ISC	John David Jaicks	AdvisorLaw LLC	NO	OB	D				Terry M. Lloyd, CPA, CFA	1	10/23/2017	CR	1
17-00825	San Francisco, CA	03/23/2017	07/31/2017	10/03/2017	Customers only	Customer	Nicholas Cowles Cochran; Clarence Yee	Evans & Kob	NO	NO	G	x			Isidoro Berkman, Esq.	2		Rs	
17-00853	Boca Raton, FL	04/03/2017	10/18/2017	02/12/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Craig Daniel Price	Baritz & Colman	NO	OB	G	x		x	Richard W. Epstein, Esq. - Chair; Gilbert A. Schnirman, MD; Frederick P. Hartman, CPA	2	10/18/2017	OTs OAH	0

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-00865	Baltimore, MD	04/04/2017	08/14/2017	08/17/2017	Legg Mason Investor Services LLC	ISC	Howard Mirvis	Miles & Stockbridge	NO	NO	G		x		Vicky L. Orem, Esq.	1	08/08/2017	Not	6
17-00867	Boca Raton, FL	04/04/2017	03/05/2018	03/14/2018	Next Financial Group Incorporated; et al.	ISC; Customer	Dirk David Rabenold	Sallah Astarita & Cox	NO	NO	G		x		Elena G. Rodriguez - Chair; Richard W. Epstein, Esq.; Robert A. Sauerberg	1		Rs	
17-00881	*, *	04/05/2017	11/28/2017	12/07/2017	Ameriprise Financial Services Incorporated	ISC	Alvin Sanders	AdvisorLaw LLC	NO	NO	G/D	x	x	x	Herbert Liberman	1	10/10/2017	Not	49
17-00890	*, *	04/06/2017	11/21/2017	12/05/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael Alan Greer	AdvisorLaw LLC	NO	OB	G		x		A. Joel Klein, Esq.	1	08/11/2017	Not	102
17-00893	Boca Raton, FL	04/07/2017	10/05/2017	10/11/2017	UBS Financial Services Incorporated	Bressler Amery & Ross	Matthew Timothy Shafer	Baritz & Colman	NO	NO	G	x		x	Robert Lawrence Ostrov - Chair; Richard S. Herman; David G. Pittinos	1	09/29/2017	Not	6
17-00901	Hartford, CT	04/07/2017	11/09/2017	02/15/2018	Charles Schwab & Company Incorporated	ISC	Victoria Lynn Mueller	JRA Law Partners LLP	NO	NO	D				Edward Blumstein, Esq. - Chair; Melanie Merchant Cunningham; Lucia A. Aschettino	1		UD	
17-00932	Newark, NJ	04/12/2017	08/01/2017	08/09/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Charles Ellis Connant.	AdvisorLaw LLC	NO	NO	G	x	x		Morton S. Bunis, Esq.	1	07/17/2017	Not	15
17-00933	New York, NY	04/12/2017	12/14/2017	01/09/2018	Citicorp Investment Services Incorporated	Bressler Amery & Ross	Suzanne Hillary Nitzberg	None	NO	NO	G	x	x		Anthony Michael Sabino, Esq.	1	10/27/2017	Not	48
17-00934	Wilmington, DE	04/10/2017	10/30/2017	11/17/2017	Wells Fargo Advisors Financial Network LLC	ISC	Joseph Francis Mahoney	Coss & Momjian	NO	NO	G	x	x	x	Robert E. Anderson, Esq.	1		UD	
17-00936	Baltimore, MD	04/12/2017	11/10/2017	11/30/2017	Morgan Stanley Smith Barney LLC	ISC	John C. Tompkins	AdvisorLaw LLC	NO	NO	G	x			Joseph J. Dougherty, JD	1	07/31/2017	Not	102
17-00937	Tampa, FL	04/12/2017	08/29/2017	09/18/2017	Customers only	Customer	Ronald Oldano	Murphy & Anderson	NO	NO	G	x	x	x	Edith N. Dinneen, Esq.	1		Rs	
17-00941	*, *	04/12/2017	11/02/2017	11/14/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Joseph Alan Seidler	AdvisorLaw LLC	NO	NO	G	x	x		Arocles Aguilar	1	08/09/2017	Not	85
17-00970	Detroit, MI	04/17/2017	10/26/2017	11/28/2017	Kalos Capital Incorporated	ISC	Curtis Leroy Whipple	Maddin Hauser et al.	NO	NO	G			x	John F. Burns, Esq.	1	10/19/2017	PoS	7
17-00982	Boston, MA	04/18/2017	09/28/2017	10/30/2017	Customers only	Customer	Harvey Robert Boshart; James Campbell Fagan	Eugene L. Small PC	NO	NO	G	x	x	x	Richard J. Grahn, Esq. - Chair; Frederick J. Myers; Arthur Thomas Carr	1		Rs	
17-01003	Detroit, MI	04/19/2017	02/22/2018	03/30/2018	MML Investors Services LLC fka MML Investors Services Incorporated; LPL Financial LLC fka Linsco/Private Ledger Corporation	Kramer & Kramer (MMLIS); ISC (LPLF)	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	OB	G		x		Martin J. Brosnan, Esq.	1	10/25/2017	Not	120

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-01027	Chicago, IL	04/21/2017	12/12/2017	02/05/2018	Woodbury Financial Services Incorporated	ISC	Genevieve Garcia Mar	AdvisorLaw LLC	NO	NO	G		x		Kenneth N. Adamson, Esq.	1	10/31/2017	Not	42
17-01039	Raleigh, NC	04/24/2017	10/10/2017	10/24/2017	UBS Financial Services Incorporated	ISC	Manish Mehta	Bressler Amery & Ross	NO	NO	G	x	x		John P. Cullem, Esq.	1	09/22/2017	PoS	18
17-01044	Richmond, VA	04/24/2017	01/04/2018	01/19/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Brandon Jeffrey Mink	AdvisorLaw LLC	NO	NO	G	x	x		James W. (Jim) Geiger	1	08/16/2017	Not	141
17-01049	Atlanta, GA	04/25/2017	11/29/2017	12/01/2017	Citigroup Global Markets Incorporated	Bressler Amery & Ross	R. Mark Castle	AdvisorLaw LLC	NO	NO	G	x	x		Lita S. Menkin, JD	1	08/15/2017	PoS	106
17-01050	San Francisco, CA	04/25/2017	01/23/2018	02/08/2018	Customers only	Customer	Gregory Robert Sain	Keesal Young & Logan	NO	NO	G		x		John J. Fitzpatrick, Jr., Esq. - Chair; Benjamin Slomoff, ADR, MA; Gilbert R. Serota, Esq.	1	01/02/2018	PoS	21
17-01081	*, *	04/27/2017	11/01/2017	12/01/2017	Securities America Incorporated	Saretsky Hart et al.	Jordan Mark Dechtman	AdvisorLaw LLC	NO	OB	G	x			Lynn Hirschfeld Brahlin, Esq.	2	08/07/2017	Not	86
17-01093	Boston, MA	04/28/2017	10/11/2017	10/31/2017	Pruco Securities LLC; et al.	Law Offices of Alan S. Brodherson	Heidi Lydia Hanson	Thomas N. O'Connor, Attorney-at-Law	NO	NO	G		x		Denise L. Presley, Esq. - Chair; Abigail Falcon-Rosa	1		Rs	
17-01094	New York, NY	05/01/2017	11/28/2017	12/05/2017	Eastbrook Capital Group LLC	No-show	Thomas Edison Kelly	AdvisorLaw LLC	NO	NO	G	x	x		Madelon M. Rosenfeld, Esq.	1	10/10/2017	PoS	49
17-01108	*, *	05/01/2017	12/07/2017	12/21/2017	MONY Securities Corporation; Woodbury Financial Services Incorporated	Advisor Group Inc. (WFS); ISC (MONYS)	William Geiger Stafford	AdvisorLaw LLC	NO	NO	G	x			Richard J. Stall, Jr., Esq.	1	08/22/2017	Not	107
17-01117	Dallas, TX	05/01/2017	11/20/2017	12/06/2017	Customers only	Customer	Jeremy Bardin	Drinker Biddle & Reath	NO	NO	G			x	Dineo Coleman Gary - Chair; Joseph Neal Richardson; Charles Robert Elhoff, Jr.	1		Rs	
17-01125	Tampa, FL	05/02/2017	05/04/2018	05/09/2018	Morgan Stanley & Company LLC	ISC	David Robert Begala	AdvisorLaw LLC	NO	NO	G	x	x	x	John P. Cullem, Esq.	1	08/17/2017	PoS	260
17-01127	*, *	05/02/2017	12/05/2017	12/18/2017	Larson Financial Securities LLC	ISC	Christopher Alan Clark	AdvisorLaw LLC	NO	NO	G	x	x	x	Robert F. Saint-Aubin, Esq.	1	08/16/2017	Not	111
17-01129	Albany, NY	05/03/2017	01/24/2018	02/05/2018	LPL Financial LLC	ISC	Leonard Frank Valletta	AdvisorLaw LLC	NO	NO	G		x		Pamela H. Roderick	1		UD	
17-01135	Washington, DC	05/03/2017	04/12/2018	05/22/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jeffrey Elliott Leventhal	AdvisorLaw LLC	NO	NO	G/D	x			Edward M. Statland, Esq.	2	03/21/2018	Not	22
17-01141	Newark, NJ	05/04/2017	10/17/2017	10/30/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Lawrence William Catena	AdvisorLaw LLC	NO	NO	G	x	x		Joseph H. Cerame, Esq.	1	09/11/2017	Not	36
17-01144	Milwaukee, WI	05/04/2017	10/18/2017	11/21/2017	Morgan Stanley & Company LLC	ISC	Anthony C. Pecoraro	Amato Law Firm	NO	NO	G		x		Philip J. Glick, Esq.	1	10/12/2017	Not	6
17-01151	*, *	05/05/2017	02/05/2018	04/10/2018	Securities America Incorporated	Saretsky Hart et al.	Thomas Kerby Hall	AdvisorLaw LLC	NO	OB	G	x			Daniel M. Yamshon, Esq.	3	10/31/2017	Not	97
17-01153	Philadelphia, PA	05/05/2017	09/26/2017	10/09/2017	NyLife Securities LLC	Morgan Lewis & Bockius	David S. Coult	Saretsky Hart et al.	NO	NN	G	x	x		Donald S. Bauman, Esq.	1		Dec	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-01201	Chicago, IL	05/09/2017	02/11/2018	03/16/2018	LaSalle Financial Services Incorporated; Banc of America Investment Services Incorporated	Bressler Amery & Ross	Alex Papadopoulos	AdvisorLaw LLC	NO	NO	G/D		x		James A. Murphy, JD	2	08/16/2017	Not	179
17-01210	*, *	05/10/2017	10/25/2017	11/06/2017	Piper Jaffray & Company	ISC	Ronald Mark Daly	Law Office of Patrick R. Mahoney	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	10/03/2017	Not	22
17-01215	New York, NY	05/11/2017	01/08/2018	01/19/2018	Morgan Stanley	ISC	Mark Stephen Kaschenbach	AdvisorLaw LLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	12/07/2017	PoS	32
17-01235	Boston, MA	05/12/2017	09/25/2017	11/07/2017	Essex Securities LLC	Godbout Law PLLC	James Edmond Moniz	Law Office of Peter F. Flynn	NO	OB	D				Arthur J. Giacomarra, Esq.	1	09/20/2017	Not	5
17-01240	New York, NY	05/15/2017	12/14/2017	01/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Patrick Ryan Henry	AdvisorLaw LLC	NO	NO	G		x		Keely D. Parr, Esq.	1	08/29/2017	Not	107
17-01245	Miami, FL	05/15/2017	12/01/2017	12/14/2017	Securities America Incorporated; Geneos Wealth Management Incorporated	ISC	Marc Allan Silverman	AdvisorLaw LLC	NO	NO	G	x	x		Barry David Thorpe (fka Barry K. Thorpe, Esq.)	1	08/28/2017	OtS	95
17-01260	Baltimore, MD	05/16/2017	10/11/2017	10/31/2017	T. Rowe Price Investment Services Incorporated	Donovan & Rainie	Charles Daniel Fuller	None	NO	NN	G	x			Joseph J. Dougherty, JD	1		Dec	
17-01262	Tampa, FL	05/16/2017	12/19/2017	12/26/2017	JW Cole Financial Incorporated; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); No-show (JWCF)	Scott Alan Jaffe	AdvisorLaw LLC	NO	NO	G	x	x		Gregory D. Hoffmann	1	10/17/2017	PoS	63
17-01263	*, *	05/16/2017	02/12/2018	02/16/2018	Pruco Securities LLC	Law Offices of Alan S. Brodherson	Louis Meyers Tilchin	AdvisorLaw LLC	NO	OB	D				James B. Eichberg, CPA	1	01/31/2018	CR	12
17-01286	Tampa, FL	05/17/2017	01/17/2018	01/29/2018	Larson Financial Securities LLC	ISC	Colin Gregory Wiens	AdvisorLaw LLC	NO	NO	G	x	x		Brian G. Mooney, Esq.	1	08/21/2017	Not	149
17-01288	Washington, DC	05/17/2017	02/09/2018	02/15/2018	Tower Square Securities Incorporated	ISC	Michael Eugene Pierce	AdvisorLaw LLC	NO	NO	D				Christopher M. McMurray, Esq.	1	08/17/2017	PoS	176
17-01307	Detroit, MI	05/18/2017	12/20/2017	12/22/2017	MML Investors Services LLC; LPL Financial LLC	Kramer & Kramer (MMLIS); Stevens & Lee (LPLF)	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	NO	G	x	x		Patrick R. Sughroue, Esq.	1	10/17/2017	Not	64
17-01309	Hartford, CT	05/19/2017	02/06/2018	02/09/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Christopher Brent Metcalf	Cohen & Wolf	NO	NO	G	x	x		Edward W. Morris, Jr., Esq. - Chair; Paul Smith Besson; Marissa A. Santangelo	1	02/01/2018	PoS	5
17-01310	Hartford, CT	05/19/2017	02/22/2018	03/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Christopher B. Metcalf; Jeffrey H. Cole	Cohen & Wolf	NO	NO	G		x	x	Edward W. Morris, Jr., Esq. - Chair; Catherine M. Gallagher; Marissa A. Santangelo	1	12/19/2017	Not	65
17-01330	Atlanta, GA	05/22/2017	04/24/2018	05/17/2018	First Southern Securities LLC	ISC	Vasileios Alexios Sfyris	Ulmer & Berne	NO	NO	G		x		Robert H. Putnam, Jr., Esq. - Chair; Shawn Barr; Michael J. Stern, Esq.	1	01/22/2018	PoS	92
17-01331	Atlanta, GA	05/22/2017	04/25/2018	05/04/2018	First Southern Securities LLC	ISC	William Heath Hawk	Ulmer & Berne	NO	NO	G	x	x		John F. Allgood, Esq. - Chair; David Frank Walbert; Michael J. Stern, Esq.	1	09/07/2017	PoS	230

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-01391	Nashville, TN	05/26/2017	12/11/2017	12/26/2017	Raymond James Financial Services Incorporated	ISC	David Wayne Adams	Holcomb & Ward	NO	NO	G		x		Theodore Haynes - Chair; Neil Harvey Smith; Stephen Edward Cundiff	1	10/30/2017	Not	42
17-01395	Memphis, TN	05/26/2017	01/04/2018	01/11/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	John David Santi	AdvisorLaw LLC	NO	NO	G	x			John B. Roe	1	08/18/2017	PoS	139
17-01405	Wilmington, DE	05/30/2017	10/10/2017	10/26/2017	Coastal Equities Incorporated	ISC	Gregg Michael Somerville	Miles & Stockbridge	NO	NO	G	x	x		Morton S. Bunis, Esq.	1	09/14/2017	PoS	26
17-01410	Baltimore, MD	05/30/2017	11/29/2017	01/24/2018	Coastal Equities Incorporated	ISC	Kari March	Miles & Stockbridge	NO	NO	G			x	Brenda J. Stovall, Esq.	1	10/24/2017	OtS	36
17-01420	*, *	05/31/2017	11/02/2017	11/15/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Anthony Daniel Guinane	AdvisorLaw LLC	NO	NO	G	x	x		Robert D. Sussin, Esq.	1	08/18/2017	Not	76
17-01429	New York, NY	06/01/2017	04/25/2018	06/07/2018	Ouisa Capital LLC	ISC	Vincent Molinari	Ulmer & Berne	NO	NO	G	x	x		Richard W. Cutler, Esq. - Chair; Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.); Ellen Slipp	1	04/07/2017	Not	383
17-01433	Charlotte, NC	06/01/2017	11/30/2017	03/01/2018	BB&T Investment Services Incorporated	Murphy & McGonigle	Gray K. Daus	AdvisorLaw LLC	NO	NO	G	x	x		Douglas Earl McLaren, Esq.	1	08/18/2017	PoS	104
17-01443	San Juan, PR	06/02/2017	02/21/2018	03/08/2018	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Rafael Rivera	Toro Colon et al.	NO	NO	G	x	x	x	Martin A. Feigenbaum, Esq.	1	12/20/2017	Not	63
17-01464	New York, NY	06/06/2017	11/30/2017	12/11/2017	Wells Fargo Advisors LLC	ISC	Joseph Bancheri; Michael Lupton	Holcomb & Ward	NO	NO	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Joan M. Traub, Esq.; Sean F. Monahan	1		UD	
17-01468	Atlanta, GA	06/06/2017	11/03/2017	11/15/2017	UBS Financial Services Incorporated	ISC	Edward Upchurch Miller	Bressler Amery & Ross	NO	NO	G	x	x		Mollie Wagner Neal, Esq.	1	01/02/2017	CR	305
17-01493	Baltimore, MD	06/08/2017	03/29/2018	05/31/2018	Wells Fargo Clearing Services LLC	ISC	Stephen Frederick Owen, III	AdvisorLaw LLC	NO	NO	G	x			Joseph J. Dougherty, JD	2	08/18/2017	PoS	223
17-01494	*, *	06/08/2017	11/14/2017	11/27/2017	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	James Edward Chiate	AdvisorLaw LLC	NO	NO	G	x			Richard J. Stall, Jr., Esq.	1	08/18/2017	Not	88
17-01506	*, *	06/09/2017	02/13/2018	02/26/2018	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Law Office of Alan S. Brodherson (PEG); ISC (WFCS)	Jarrod Edward Biebel	AdvisorLaw LLC	NO	OB	G/D		x		Philip J. Glick, Esq.	1	08/18/2017	Not	179
17-01537	New York, NY	06/13/2017	03/08/2018	04/05/2018	Oppenheimer & Company Incorporated; Raymond James & Associates Incorporated	ISC	Peter Chris Marketos	Herskovits PLLC	NO	NO	G	x			Ted M. Rosen, Esq.	1	02/08/2018	Not	28
17-01539	Boston, MA	06/12/2017	11/16/2017	12/11/2017	Wells Fargo Clearing Services LLC	ISC	Pamela M. Nottingham	Ruberto Israel & Weiner	NO	OB	G	x			Richard J. Grahn, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2130 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-01545	San Diego, CA	06/12/2017	01/08/2018	02/01/2018	National Planning Corporation	ISC	George William Melbrod Jr.; Scott H. Melbrod	Holmes Taylor et al.	NO	NO	G	x	x	x	2	Herbert Liberman - Chair; Robert F. Saint-Aubin, Esq.; Gunnar Thowsen	01/05/2018	Not	3
17-01548	Detroit, MI	06/14/2017	01/12/2018	03/15/2018	Equity Services Incorporated	Winget Spadafora & Schwartzberg	Paisu Kang	Maddin Hauser et al.	NO	NO	G/D	x			2	Robert J. Scafuri, Esq.	10/20/2017	PoS	84
17-01549	New York, NY	06/14/2017	03/06/2018	04/26/2018	Oppenheimer & Company Incorporated; Raymond James & Associates Incorporated	ISC	Peter C. Marketos	Herskovits PLLC	NO	OB	G/D	x	x		2	Joseph J. Arata, Esq.	02/14/2018	Not	20
17-01562	*, *	06/14/2017	11/15/2017	01/02/2018	Customers only	Customer	Thomas James Kokjohn	Keesal Young & Logan	NO	NO	G			x	1	Kendall C. Reed, Esq.		Rs	
17-01566	New York, NY	06/15/2017	02/06/2018	02/09/2018	Eastbrook Capital Group LLC; Maxim Group LLC; Nichols Safina Lerner & Company Incorporated	ISC	Sean Michael Murphy	AdvisorLaw LLC	NO	NO	G		x		1	Richard W. Cutler, Esq.	01/02/2018	Not	35
17-01602	Cincinnati, OH	06/16/2017	09/06/2017	09/19/2017	UBS Financial Services Incorporated	ISC	Leonard D. Kichler	Bressler Amery & Ross	NO	NO	G	x	x	x	1	Richard W. Dissen, Esq.	08/11/2017	CR	26
17-01616	Newark, NJ	06/19/2017	11/30/2017	12/20/2017	Morgan Stanley & Company LLC	ISC	Ira Allen Walker	Kaufmann Gildin & Robbins	NO	NO	G		x		1	Neal D. Baker, Esq. - Chair; Gregory James Libertiny; Chaim A. Levin, Esq.	11/07/2017	PoS	23
17-01624	*, *	06/20/2017	02/20/2018	03/16/2018	Morgan Stanley Incorporated; Morgan Stanley DW Incorporated; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (MS & MSDW)	Mary Colleen Wright	AdvisorLaw LLC	NO	OB	G/D	x	x	x	1	Gregory G. Gocek	08/22/2017	Not	182
17-01641	Boston, MA	06/21/2017	12/12/2017	01/25/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mark Alexander Soukup	AdvisorLaw LLC	NO	NO	G		x		1	Joseph Charles Kennedy, Jr.	11/17/2017	PoS	25
17-01650	San Diego, CA	06/21/2017	10/02/2018	10/25/2018	EF Hutton & Company Incorporated; Morgan Stanley Smith Barney LLC	Law Offices of Alan S. Brodherson (PEG); ISC (MSSB); No-show (EFH)	Stephen Phillip Whitman	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	Michael E. Rohde, Esq.	08/22/2017	Not	406
17-01659	*, *	06/22/2017	02/06/2018	02/16/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Douglas Peter Eikenberry	AdvisorLaw LLC	NO	NO	G	x	x		1	Katherine H. O'Neil, Esq.	08/23/2017	Not	167
17-01661	Minneapolis, MN	06/22/2017	01/26/2018	01/31/2018	Harbour Investments Incorporated	Vanasco Genelly & Miller	Stephen Joseph Koessler	AdvisorLaw LLC	NO	UN	G	x	x		1	Frederick Ramos, Esq.	11/17/2017	PoS	70
17-01662	Milwaukee, WI	06/22/2017	04/18/2018	04/27/2018	AXA Advisors LLC	ISC	Todd J. Barden	AdvisorLaw LLC	NO	UN	D				1	Gerald W. Hepp		UN	
17-01667	St. Louis, MO	06/23/2017	01/30/2018	02/13/2018	Larson Financial Securities LLC	No-show	Paul Douglas Larson	AdvisorLaw LLC	NO	NO	G/D		x		1	Julius Z. Frager	08/23/2017	Not	160

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-01708	Dallas, TX	06/27/2017	02/05/2018	03/15/2018	Legg Mason Wood Walker Incorporated; Capital One Investments LLC; Morgan Stanley DW Incorporated	Todd Ratner PLC (COI); ISC (LMWW, MSDW)	Norman Todd Coates	AdvisorLaw LLC	NO	NO	G	x	x	x	1	David A. Schuler	08/23/2017	Not	166
17-01717	New York, NY	06/29/2017	10/23/2017	11/17/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Michael D. Prokop	Bressler Amery & Ross	NO	NO	G	x		x	1	Nancy Kramer		UD	
17-01732	Jacksonville, FL	06/29/2017	03/08/2018	03/16/2018	First Allied Securities Incorporated; Fairchild Financial Group Incorporated fka VTR Capital Incorporated	ISC (FAS); No-show (FFG)	Daniel Martin Ciez	Amato Law Firm	NO	NO	G		x	x	1	Richard S. Zaifert, Esq.	02/16/2018	Not	20
17-01759	New York, NY	07/05/2017	10/23/2017	11/30/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Terry Ian Zickerman	Bressler Amery & Ross	NO	NO	G	x	x		1	David I. Goldblatt, Esq.	10/05/2017	Not	18
17-01764	Los Angeles, CA	07/05/2017	06/11/2018	07/27/2018	Ameriprise Advisor Services Incorporated	ISC	James Matthew Patton	AdvisorLaw LLC	NO	NO	G	x	x		2	Alan M. Rosen	08/31/2017	PoS	284
17-01771	Houston, TX	07/05/2017	09/12/2017	09/21/2017	UBS Financial Services Incorporated	ISC	Farhood Kasiri	Bressler Amery & Ross	NO	NO	D				1	Brian James Tagtmeier	08/07/2017	PoS	36
17-01790	*, *	07/07/2017	01/31/2018	02/22/2018	Wells Fargo Clearing Services LLC	ISC	Noah Levine	AdvisorLaw LLC	NO	NO	G	x	x	x	1	Merton E. Marks, Esq.	08/24/2017	Not	160
17-01800	New York, NY	07/10/2017	03/01/2018	03/13/2018	Smith Asset Management Incorporated	No-show	William Blaine Smith	AdvisorLaw LLC	NO	NO	G		x	x	1	Sandra Gale Behrle, Esq.	01/17/2018	PoS	43
17-01803	Houston, TX	07/10/2017	02/20/2018	04/09/2018	Next Financial Group Incorporated; LPL Financial LLC	ISC	Bryan Keith Kaarlsen	AdvisorLaw LLC	NO	NO	G	x	x	x	1	Allan R. Lazor, Esq.	08/31/2017	PoS	173
17-01811	Salt Lake City, UT	07/10/2017	05/10/2018	05/30/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Gregory S. Golding	AdvisorLaw LLC	NO	OB	G	x	x		1	Daniel M. Yamshon, Esq.	08/25/2017	Not	258
17-01821	*, *	07/11/2017	02/27/2018	03/15/2018	Ameriprise Financial Services Incorporated	ISC	Ryan Raymond Callaway	AdvisorLaw LLC	NO	NO	G	x	x		1	Philip E. Cutler, Esq.	08/24/2017	Not	187
17-01823	*, *	07/11/2017	03/22/2018	04/06/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley & Company LLC	Bressler Amery & Ross (MLPFS); ISC (M&C)	Michael D. Clancy	AdvisorLaw LLC	NO	NO	G		x		1	James John Jurinski, JD	03/14/2018	Not	8
17-01832	New York, NY	07/12/2017	02/01/2018	02/12/2018	Deutsche Bank Securities Incorporated	Paduano & Weintraub	Padraig Kevin McBrien	AdvisorLaw LLC	NO	NO	G		x		1	Sandra Gale Behrle, Esq.		UD	
17-01843	New York, NY	07/13/2017	03/23/2018	04/27/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Avinash Daswani	Herskovits PLLC	NO	OB	G	x	x		1	Robert E. Anderson, Esq.		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000/2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-01858	San Francisco, CA	07/13/2017	05/22/2018	02/11/2019	First Allied Securities Incorporated	ISC	Virgil John Threlkeld	Barr & Young	NO	NN	G		x		Kevin C. Coleman, JD	1		Dec	
17-01866	Jacksonville, FL	07/14/2017	12/15/2017	01/29/2018	The Investment Center Incorporated	ISC	Jeffrey Scott Heinel	Winget Spadafora & Schwartzberg	NO	NO	G			x	Richard R. Logsdon, Esq. - Chair; Gerald Thomas Harper; Joseph Albert Sharpe	1	10/05/2017	CR	71
17-01888	San Francisco, CA	07/18/2017	12/20/2017	02/26/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Susanna Kim Bracke	Kauff Laton Miller LLP	NO	NO	G	x	x	x	Arocles Aguilar	1	10/23/2017	Not	58
17-01895	Denver, CO	07/18/2017	09/12/2018	09/19/2018	LPL Financial LLC	ISC	David Allen Peterson	AdvisorLaw LLC; HLBS Law	NO	NO	D				Jonathan B. Gilbert, Esq.	1	12/11/2017	Not	275
17-01901	San Francisco, CA	07/18/2017	02/15/2018	04/18/2018	First Montauk Securities Corporation; QA3 Financial Corporation	No-show	Michael Erin Tomren	AdvisorLaw LLC	NO	OB	G/D	x			Joseph M. O'Connor, PE	1	09/19/2017	PoS	149
17-01907	New York, NY	07/19/2017	04/05/2018	04/19/2018	UBS Financial Services Incorporated	ISC	Jason Maxwell Katz	Bressler Amery & Ross	NO	NO	G	x	x		Harvey Barrison, Esq. - Chair; Evdokia Sofos, Esq.; Edward Baer, Esq.	1		UD	
17-01921	Atlanta, GA	07/20/2017	02/02/2018	02/08/2018	Kalos Capital Incorporated	ISC	Daniel Lloyd Wildermuth	Maddin Hauser et al.	NO	NO	G		x		Robert H. Putnam, Jr., Esq.	1	10/25/2017	Not	100
17-01927	Tampa, FL	07/21/2017	01/23/2018	02/14/2018	Ameriprise Financial Services Incorporated	ISC	Michael Douglas Hanke	Burr & Forman	NO	NO	G	x	x	x	John P. Culle, Esq.	1	7/31/2017	Not	176
17-01928	Kansas City, MO	07/21/2017	12/29/2017	01/04/2018	Customers only	Customer	Brent H. Hoffman	Bradley & Riley	NO	NO	G	x		x	Susan L. Walker, Esq. - Chair; Dennis Donald Shrewsbury; Bruce Burditt, CPA	1		Rs	
17-01937	Detroit, MI	07/24/2017	03/28/2018	04/09/2018	LPL Financial LLC; Ameriprise Financial Services Incorporated	ISC	Bradley Clyde Fischer	AdvisorLaw LLC	NO	NO	D				Michael J. Meeusen, Esq.	1	01/29/2018	Not	58
17-01943	Cincinnati, OH	07/24/2017	03/29/2018	04/25/2018	PNC Investments LLC; PNC Capital Markets LLC	Littler Mendelson PC (PNCI); No-show (PNCCM)	Stephen James Fish	AdvisorLaw LLC	NO	NO	G	x			Gregory P. Szuter, Esq.	1	07/31/2017	Not	241
17-01952	New York, NY	07/25/2017	12/19/2017	01/16/2018	UBS Financial Services Incorporated	ISC	Brian Thomas Cain	Bressler Amery & Ross	NO	OB	G	x	x		Brooks White	1	12/08/2017	Not	11
17-01959	Detroit, MI	07/25/2017	04/09/2018	05/12/2018	First Heartland Capital Incorporated	ISC	Jay Duane Hokanson	AdvisorLaw LLC	NO	NO	G/D		x		Tracy L. Allen, Esq.	1	08/02/2017	PoS	250
17-01960	Des Moines, IA	07/26/2017	03/30/2018	04/06/2018	Berthel Fisher & Company Financial Services Incorporated	ISC	John Paul Long	AdvisorLaw LLC	NO	OB	G/D		x		Gerald W. Hepp	1	09/09/2017	PoS	202
17-01973	Manchester, NH	07/26/2017	03/21/2018	03/29/2018	Morgan Stanley DW Incorporated; Wells Fargo Clearing Services LLC	ISC	Gary B. Ghigliotti	AdvisorLaw LLC	NO	NO	G	x	x		James W. (Jim) Geiger	1	12/01/2017	PoS	110
17-01977	New York, NY	07/27/2017	02/13/2018	02/27/2018	Dirks & Company Incorporated	ISC	Eric Michael Earnhardt	AdvisorLaw LLC	NO	NO	G	x	x	x	Brooks White	1	08/18/2017	PoS	179

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-01983	Boston, MA	07/27/2017	03/22/2018	03/29/2018	Citigroup Global Markets Incorporated; LPL Financial LLC	Bressler Amery & Ross (CGM); ISC (LPLF)	Regina Ann Bernarduci	AdvisorLaw LLC	NO	NO	G	x	x		Susan E. Maloney, Esq.	1		UD	
17-01999	Tampa, FL	07/28/2017	12/03/2018	01/18/2019	Wells Fargo Advisors Financial Network; Wells Fargo Clearing Services LLC; et al.	ISC; Customer	Nancy Kimball Mellon	None	NO	NO	G	x	x	x	John P. Cullem, Esq.	1		Rs	
17-02009	Dallas, TX	07/28/2017	02/19/2018	03/21/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Christopher D. Cervantes	AdvisorLaw LLC	NO	OB	G	x	x		Joseph Neal Richardson	1	08/10/2017	Not	193
17-02023	New York, NY	07/31/2017	03/16/2018	04/05/2018	Credit Suisse Securities (USA) LLC	ISC	Norman Abraham Epstein	Bressler Amery & Ross	NO	NO	G		x		Lise Gabrielle Hunter, Esq.	2	03/16/2018	Not BLH	0
17-02036	Newark, NJ	08/01/2017	03/01/2018	03/27/2018	Bank of America Investment Services Incorporated	Bressler Amery & Ross	Patrick Kieran Tierney	AdvisorLaw LLC	NO	NO	G	x		x	Robert E. Anderson, Esq.	1	08/18/2017	Not	195
17-02044	*, *	08/01/2017	03/15/2018	04/05/2018	AG Edwards & Sons Incorporated nka Wells Fargo Clearing Services Incorporated	ISC	James Watson Garner	AdvisorLaw LLC	NO	NO	G		x		Michael S. Matek, Esq.	1	08/18/2017	Not	209
17-02059	Newark, NJ	08/03/2017	01/30/2018	02/14/2018	The Investment Center Incorporated	ISC	Louis Tranquilli	Winget Spadafora & Schwartzberg	NO	NO	G	x			Paul Allan Massaro - Chair; Fred S. Pieroni	1		UD	
17-02061	Boston, MA	08/03/2017	04/24/2018	05/16/2018	LaSalle St. Securities LLC	David A. Genelly Ltd.	Paul K. Wong	David A. Genelly Ltd.	NO	NO	G	x	x	x	Robert J. Ambrogi, Esq.	1	02/27/2018	Not	56
17-02070	Los Angeles, CA	08/03/2017	05/02/2018	07/03/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Jenny Chu; Kenneth Gyunam Jo.	Holmes Taylor et al.	NO	NO	G			x	Michael M. Hachigian, Esq. - Chair; Robert Ronne; John Alen DeRosa	2		UD	
17-02089	*, *	08/04/2017	03/19/2018	04/04/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David Anthony Mendoza	AdvisorLaw LLC	NO	OB	G	x	x		Laurel Littman Gothelf, MPH	1	11/30/2017	PoS	109
17-02107	Boston, MA	08/08/2017	03/22/2018	04/11/2018	Moors & Cabot Incorporated; Morgan Stanley DW Incorporated	Pierce & Mandell (M&C); ISC (MSDW)	Richard Joseph Bellew	AdvisorLaw LLC	NO	NN	G/D	x	x		Mary E. Bassett	1		Dec	
17-02150	Minneapolis, MN	08/10/2017	04/03/2018	04/24/2018	Larson Financial Securities LLC	ISC	Anthony Joseph Ferrara	AdvisorLaw LLC	NO	NO	D				Alain Frecon, Esq.	1	01/03/2018	PoS	90
17-02157	New York, NY	08/11/2017	03/27/2018	04/09/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Matthew D. Gold	AdvisorLaw LLC	NO	NO	G	x	x		Madelon M. Rosenfeld, Esq.	1	01/29/2018	PoS	57
17-02162	Los Angeles, CA	08/13/2017	11/06/2017	12/08/2017	UBS Financial Services Incorporated	ISC	Michael David Kanigher	Bressler Amery & Ross	NO	NO	G	x	x		Robert D. Sussin, Esq.	2	10/23/2017	PoS	14
17-02165	Dallas, TX	08/13/2017	12/01/2017	12/15/2017	Oppenheimer & Company Incorporated	ISC	Monda D. Hanna	Bressler Amery & Ross	NO	NO	G	x	x	x	David A. Schuler	1	11/17/2017	PoS	14

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-02182	Philadelphia, PA	08/15/2017	06/08/2018	09/10/2018	Oppenheimer & Company Incorporated	ISC	Richard Grobman	Deutsch & Lipner	NO	NO	G			x	Guillermo L. Bosch, Esq. - Chair; David Arthur Christiansen; Sally Cheung	1		UD	
17-02213	New York, NY	08/17/2017	05/23/2018	06/12/2018	Ameriprise Financial Services Incorporated	Chorpenning Good et al.	Todd J. Hubley	Barton LLP	NO	NO	G	x	x		Sam Antar, Esq.	1	01/02/2018	Not	141
17-02216	New York, NY	08/17/2017	05/02/2018	06/07/2018	Morgan Stanley Smith Barney LLC	ISC	Ari Moshe Baum	Hamburger Law Firm	NO	NO	G		x	x	Daniel Robbins, Esq. - Chair; Stephen A. Weiner, Esq.; John Clark Van Steen	1	04/30/2018	Not	2
17-02218	Charlotte, NC	08/17/2017	05/01/2018	05/10/2018	AG Edwards & Sons Incorporated	ISC	Walter Chandler Martin	AdvisorLaw LLC	NO	NO	D				Frank E. Wolf	1		UD	
17-02248	Detroit, MI	08/21/2017	06/06/2018	06/14/2018	Ameriprise Financial Services Incorporated	ISC	Michael Robert Pohlod Jr.	AdvisorLaw LLC	NO	NO	G	x	x	x	Lee Hornberger, JD	1	02/14/2018	PoS	112
17-02256	St. Louis, MO	08/22/2017	02/26/2018	03/16/2018	Larson Financial Securities LLC	No-show	Randall Scott Larson	AdvisorLaw LLC	NO	NO	G	x			Jonathan B. Gilbert, Esq.	1	01/02/2018	PoS	55
17-02257	Kansas City, MO	08/22/2017	05/28/2018	06/12/2018	SII Investments Incorporated	ISC	Jeffrey Worth Ostrander	AdvisorLaw LLC	NO	NO	G/D		x		Michael William Gear	1	05/18/2018	Not	10
17-02260	New York, NY	08/23/2017	05/02/2018	05/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Elizabeth Angelone	AdvisorLaw LLC	NO	OB	G		x		Joseph I. Liebman, Esq.	2	03/27/2018	Not	36
17-02261	New York, NY	08/23/2017	03/27/2018	04/17/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Elizabeth Angelone	AdvisorLaw LLC	NO	NO	G		x		Stephen A. Weiner, Esq.	1		UD	
17-02285	Raleigh, NC	08/25/2017	04/17/2018	05/14/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Frank David Voli	AdvisorLaw LLC	NO	NO	G		x	x	Muriel Desloovere, Esq.	1	02/08/2018	Not	68
17-02295	Jacksonville, FL	08/25/2017	03/14/2018	04/17/2018	Wells Fargo Clearing Services LLC	ISC	Matthew Aaron Turner	AdvisorLaw LLC	NO	NO	G	x	x		Mitchel Weiss, Esq.	1		UD	
17-02323	New York, NY	08/29/2017	12/03/2018	03/15/2019	MML Investors Services LLC	Stevens & Lee	Frank Wong	Malecki Law	NO	NO	G	x	x		Dan Brecher, Esq. - Chair; Simone A. Muscarnera, Esq.; Domitilia M. dos Santos, Esq.	2	03/21/2018	OtS	257
17-02329	Los Angeles, CA	08/29/2017	08/06/2018	08/15/2018	Chase Investment Services Corporation	Ulmer & Berne	John Daniel Quinn	AdvisorLaw LLC; HLBS Law	NO	OB	G	x			Robert F. Saint-Aubin, Esq.	1	01/03/2018	Not	215
17-02331	Detroit, MI	08/29/2017	03/06/2018	03/29/2018	Ameriprise Financial Services Incorporated	ISC	Charles Cheng Zhang	Honigman Miller et al.	NO	OB	G	x	x		Patrick R. Sughroue, Esq. - Chair; John F. Burns, Esq.; Stephen D. Arkwright	2		UD	
17-02332	New York, NY	08/30/2017	05/22/2018	06/22/2018	Oppenheimer & Company Incorporated	ISC	Stephen John Seremetis	Herskovits PLLC	NO	OB	G/D		x		Karimu F. Hill-Harvey, Esq.	1	03/04/2018	Not	79
17-02333	Raleigh, NC	08/30/2017	04/17/2018	05/23/2018	JP Turner & Company LLC; Park Avenue Securities LLC	ISC	Dennis Anthony Edmonds	AdvisorLaw LLC	NO	OB	G	x	x		Stuart K. Furman	1		UD	
17-02349	Buffalo, NY	08/31/2017	05/22/2018	06/26/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Todd Raymond Allen	AdvisorLaw LLC	NO	NN	G	x			Tracy L. Allen, Esq.	1		Dec	
17-02359	Los Angeles, CA	08/31/2017	04/20/2018	05/07/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Ralph Michaels Slocum	AdvisorLaw LLC	NO	NO	G		x		George L. Tindall	1	01/15/2018	Not	95

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.s.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2150 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-02375	Los Angeles, CA	09/01/2017	02/23/2018	03/26/2018	National Planning Corporation	ISC	Brad Warren Stark	Freeman Mathis & Gary	NO	NO	G	x	x	x	1	Kirtley M. Thiesmeyer, Esq. - Chair; Joseph L. Hagan; Kathleen Smith Adams	02/22/2018	Not	1
17-02392	New York, NY	09/06/2017	05/15/2018	07/05/2018	Joseph Gunnar & Company LLC	John E. Lawlor, Attorney-at-Law	Adam Steven Riback	Wexler Burkhardt et al.	NO	NO	G		x		1	Robert J. Kheel, Esq.	01/09/2018	Not	126
17-02395	Boston, MA	09/06/2017	04/27/2018	08/03/2018	Deutsche Bank Securities Incorporated	Paduano & Weintraub LLP	Brian Patrick Mulvey	AdvisorLaw LLC	NO	OB	G		x		2	Paul A. Auerbach	01/26/2018	Not	91
17-02400	San Francisco, CA	09/06/2017	04/10/2018	06/29/2018	National Planning Corporation; LPL Financial LLC	ISC	Michael David Allard	AdvisorLaw LLC	NO	OB	G		x		1	Philip Aaron Tymon, JD	01/16/2018	Not	84
17-02413	St. Louis, MO	09/07/2017	12/19/2017	12/21/2017	Wells Fargo Clearing Services LLC	ISC	Rita K. Mahn	Moline & Mehan	NO	NO	G	x	x		1	William M. Getzoff, Esq.	12/05/2017	Not	14
17-02414	Boca Raton, FL	09/08/2017	02/21/2018	03/02/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Barry Evan Rubin	Baritz & Colman	NO	NO	G	x	x	x	1	Robert Lawrence Ostrov	02/09/2018	Not	12
17-02416	New York, NY	09/08/2017	06/14/2018	08/01/2018	Lincoln Financial Advisors Corporation	ISC	Jeffrey Steven Cohen; Randy Paul Siller.	Epstein Becker & Green	NO	OB	G/D		x	x	3	Howard D. Jacob, Esq.		UD	
17-02453	Chicago, IL	09/14/2017	05/17/2018	05/31/2018	UBS Financial Services Incorporated	ISC	Paul Tashima; Louis Paster	Bressler Amery & Ross	NO	NO	G	x	x	x	1	Robert S. Sugarman, Esq.	03/16/2018	PoS	62
17-02461	San Francisco, CA	09/15/2017	09/17/2018	03/08/2019	Wells Fargo Clearing Services LLC; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (WFCS)	Bradley Todd Glasman	AdvisorLaw LLC	NO	NO	G/D	x	x		3	Arcoles Aguilar	02/08/2018	Not	221
17-02462	*, *	09/15/2017	03/13/2018	04/06/2018	Hilltop Securities Incorporated	Reif Law Group PC	Bradley Todd Glasman	AdvisorLaw LLC	NO	OB	G		x		1	Thomas D. Reese, Esq.	02/09/2018	Not	32
17-02465	Indianapolis, IN	09/15/2017	06/19/2018	08/13/2018	IFS Securities Incorporated	ISC	Gregory Brian VanWinkle	Ulmer & Berne	NO	NO	G		x	x	1	Carl E. Ver Beek, JD	05/23/2018	PoS	27
17-02468	Columbia, SC	09/18/2017	04/24/2018	05/16/2018	First Allied Securities Incorporated	ISC	Erik Christopher Weir	AdvisorLaw LLC	NO	NO	G/D	x	x		1	Harry G. Mason, JD	01/29/2018	Not	85
17-02469	San Francisco, CA	09/18/2017	07/11/2018	07/30/2018	First Allied Securities Incorporated; Round Hill Securities Incorporated	ISC (FAS); No-show (RHS)	Erik Christopher Weir	AdvisorLaw LLC	NO	NO	G		x	x	1	Ralph A. Cotton, CPA	01/11/2018	Not	181
17-02477	Atlanta, GA	09/19/2017	08/01/2018	08/31/2018	Securities America Incorporated	Eversheds Sutherland (US) LLP	Christopher Jameson Wynne; Lisa Taranto Schiffer; Niraj Nicholas Bhandari; David Shane Austin	Gregory Doyle et al.	NO	NO	G			x	1	James R. McGuone, Esq. - Chair; Jay A. Kaplan; Gary P. Alexander	08/17/2018	PoS	-16

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-02488	Seattle, WA	09/18/2017	05/04/2018	05/21/2018	Wells Fargo Clearing Services LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (WFCS)	Mark Joseph Seto	McDougal Law Group PS	NO	NO	G		x	x	1			UD	
17-02490	*, *	09/19/2017	02/22/2018	03/23/2018	United Planners' Financial Services of America A Limited Partner	ISC	Aaron Brian Graham	AdvisorLaw LLC	NO	NO	G	x	x		1	01/29/2018	PoS	24	
17-02492	San Diego, CA	09/19/2017	03/28/2018	04/24/2018	Berthel Fisher & Company Financial Services Incorporated	ISC	Fred Hamsayeh	AdvisorLaw LLC	NO	NO	G	x	x		1	01/29/2018	Not	58	
17-02503	Newark, NJ	09/20/2017	04/10/2018	05/31/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Amanda Beth Glanz	AdvisorLaw LLC	NO	NO	G		x		1	03/20/2018	Not	21	
17-02512	Boston, MA	09/21/2017	05/21/2018	07/09/2018	NyLife Securities LLC	Morgan Lewis & Bockius	Dustin Tylor Aiguier	AdvisorLaw LLC	OB	OB	G/D		x		4		UD		
17-02517	Boca Raton, FL	09/21/2017	04/12/2018	04/30/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Tara Ashley Sanders	AdvisorLaw LLC	NO	NO	G		x	x	1	03/16/2018	Not	27	
17-02518	Miami, FL	09/21/2017	02/23/2018	03/05/2018	Customers only	Customer	Annick Iwanowski	Bressler Amery & Ross	NO	NO	G	x	x		1		Rs		
17-02527	*, *	09/21/2017	03/19/2018	03/28/2018	Morgan Stanley	ISC	Rafael Antonio De Vengoechea	AdvisorLaw LLC	NO	NO	G		x		1	02/15/2018	Not	32	
17-02530	*, *	09/21/2017	02/27/2018	03/09/2018	Morgan Peabody Incorporated	ISC	Michael Lazari Karapetian	AdvisorLaw LLC	NO	NO	G	x			1	01/25/2018	Not	33	
17-02532	Detroit, MI	09/22/2017	11/16/2017	11/27/2017	Citigroup Global Markets Incorporated	Kauff Laton Miller LLP	Kenneth J. Wise	Bressler Amery & Ross	NO	NO	G		x		1	11/03/2017	PoS	13	
17-02535	Las Vegas, NV	09/22/2017	04/13/2018	04/19/2018	Wells Fargo Advisors Financial Network LLC	ISC	Mitchell Dean Horst	AdvisorLaw LLC	NO	UN	D				1		UN		
17-02539	Chicago, IL	09/22/2017	02/21/2018	03/16/2018	Mesirow Financial Incorporated	ISC	Norman David Schlisman	Jenks & Harvey	NO	NO	G		x		1		CNF		
17-02544	Louisville, KY	09/22/2017	11/17/2017	11/21/2017	UBS Financial Services Incorporated	ISC	Tracy Smith King	Bressler Amery & Ross	NO	NO	G		x	x	1	11/03/2017	PoS	14	
17-02577	Pittsburgh, PA	09/27/2017	03/13/2018	04/02/2018	AG Edwards & Sons Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (AGE&S)	Girish Shrinivas Thakar	AdvisorLaw LLC	NO	NO	G	x	x	x	1	10/28/2017	CR	136	
17-02597	Los Angeles, CA	09/28/2017	05/23/2018	05/30/2018	Centaurus Financial Incorporated; First Allied Securities Incorporated	ISC	Peter C. Han	AdvisorLaw LLC	NO	NO	G	x	x		1	02/16/2018	Not	96	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-02636	Philadelphia, PA	10/03/2017	05/09/2018	07/23/2018	Infinex Investments Incorporated; Wells Fargo Clearing Services LLC; First Union Brokerage Services Incorporated	Kaufman Dolowich & Volack (II); ISC (WFCS, FIBS)	Jason McTeague Scheurer	AdvisorLaw LLC	NO	UN	D				2			UN	
17-02642	*, *	10/03/2017	03/09/2018	03/19/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Royce Bergman; Glen Titan	Law Office of Patrick R. Mahoney	NO	NO	G	x	x	x	1	02/22/2018	PoS	15	
17-02652	Milwaukee, WI	10/04/2017	04/27/2018	05/21/2018	Lincoln Financial Advisors Corporation	ISC	Andrew Thompson Seaborg	AdvisorLaw LLC	NO	NO	G	x	x		1	03/19/2018	Not	39	
17-02664	Boca Raton, FL	10/04/2017	06/14/2018	06/25/2018	Customers only	Customer	Nelson Frederick Faro	Bressler Amery & Ross	NO	NO	G	x	x		1		Rs		
17-02666	Milwaukee, WI	10/04/2017	08/27/2018	08/31/2018	National Planning Corporation	ISC	James Steinbrenner	Vanasco Genelly & Miller	NO	NO, UN	D				1		UN		
17-02672	Providence, RI	10/05/2017	03/02/2018	03/15/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Crowe & Dunlevy	Beth Murray	Bressler Amery & Ross	NO	OB	G	x			1	02/12/2018	Not	18	
17-02679	Houston, TX	10/24/2017	03/14/2019	06/10/2019	JP Turner & Company LLC	ISC	Michael Laurence DiGaetano	AdvisorLaw LLC	NO	NO	G		x		1	03/30/2018	Not	349	
17-02743	Birmingham, AL	10/11/2017	05/07/2018	05/10/2018	Morgan Stanley & Company LLC	ISC	Michael Charles Warr	AdvisorLaw LLC	NO	NO	G		x		1	02/09/2018	Not	87	
17-02746	Chicago, IL	10/11/2017	05/14/2018	06/04/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Jeffrey Brian Mackevich	AdvisorLaw LLC	NO	NO	G	x	x		1	03/27/2018	Not	48	
17-02748	Indianapolis, IN	10/11/2017	10/09/2018	01/22/2019	National Planning Corporation	ISC	Charles Ceasar Werckenthien	AdvisorLaw LLC	NO	NN	G	x			1	09/06/2018	Not	33	
17-02749	Dallas, TX	10/11/2017	05/17/2018	07/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	John Alfred Ledford	Berry Odom LLP	NO	NO	G		x		1	04/10/2018	Not	37	
17-02753	New York, NY	10/12/2017	03/15/2018	04/20/2018	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	ISC	Frank Julio Carrasco; Aishka Lugo	Bressler Amery & Ross	NO	NO	G	x	x		1		UD		
17-02757	Phoenix, AZ	10/12/2017	05/08/2018	10/22/2018	Centaurus Financial Incorporated	ISC	James Michael Poindexter	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		2	04/11/2018	Not	27	
17-02758	Denver, CO	10/12/2017	05/07/2018	05/18/2018	Customers only	Customer	Paul James Garrett	Meyer Law Group	OB	OB	G		x		1		Rs		
17-02762	Washington, DC	10/13/2017	05/16/2018	05/24/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Francis Macielag	AdvisorLaw LLC	NO	NO	G		x		1		UD		
17-02763	Wilmington, DE	10/13/2017	03/12/2018	03/27/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Francis Macielag	AdvisorLaw LLC	NO	NO	G	x	x		1	02/22/2018	Not	18	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days
17-02767	Seattle, WA	10/13/2017	05/01/2018	07/16/2018	Wells Fargo Clearing Services LLC	ISC	Rebecca Rose Stay	AdvisorLaw LLC	NO	NO	G	x	x		Michael Lancaster Garcia	1	03/19/2018	Not	43
17-02798	Washington, DC	10/18/2017	02/22/2018	06/15/2018	Ameriprise Financial Services Incorporated; UBS Financial Services Incorporated	ISC	David Louis Levine	Bressler Amery & Ross	NO	NO	G	x	x	x	Douglas Earl McLaren, Esq.	2		UD	
17-02844	New York, NY	10/24/2017	02/13/2018	02/26/2018	JP Morgan Securities LLC	ISC	Michael George Ferguson	AdvisorLaw LLC	NO	NO	G		x	x	Paul S. Biederman	1		UD	
17-02854	Dallas, TX	10/24/2017	03/14/2018	03/29/2018	Hilltop Securities Incorporated	Jackson Walker LLP	Kent Roger Snodgrass	Berry Odom LLP	NO	NO	G	x	x	x	Jeff Howard Abrams	1	02/28/2018	Not	14
17-02858	Seattle, WA	10/25/2017	04/26/2018	05/04/2018	Pacific West Securities Incorporated	ISC	James Leroy Black	Ryan Swanson & Cleveland	NO	OB	D				William J. Bender, Esq.	1		UD	
17-02863	New York, NY	10/26/2017	06/06/2018	07/02/2018	MSI Financial Services Incorporated	Stevens & Lee	Donald Richard Hehir	AdvisorLaw LLC	NO	NO	G		x		Anna Lascar	1	03/27/2018	PoS	71
17-02872	Philadelphia, PA	10/27/2017	05/14/2018	06/13/2018	American Eagle Investments Incorporated	No-show	Allen Robert Rosenberg	AdvisorLaw LLC	NO	NO	G		x	x	Diane Ciccone, Esq.	1	04/10/2018	Not	34
17-02877	New York, NY	10/27/2017	01/17/2018	02/08/2018	UBS Financial Services Incorporated	ISC	Eric Scott Bodner; Benjamin Stephen Sax	Bressler Amery & Ross	NO	NO	G/D	x	x	x	William James Cortellessa	1	01/15/2018	PoS	2
17-02881	San Juan, PR	10/26/2017	07/17/2018	09/13/2018	Santander Securities LLC	Pietrantonio Mendez & Alvarez	Marko Andres Rendic	AdvisorLaw LLC	NO	NO	G	x		x	Stuart K. Furman	1	05/22/2018	Not	56
17-02891	Los Angeles, CA	10/27/2017	01/12/2018	01/27/2018	UBS Financial Services Incorporated	ISC	Dan Michael Gallagher	Bressler Amery & Ross	NO	NO	G	x	x		David J. Anderson	1	12/26/2017	PoS	17
17-02925	New York, NY	10/31/2017	04/11/2018	05/10/2018	First Montauk Securities Corporation; Josephthal & Company Incorporated; National Securities Corporation	ISC	Michael Fasciglione	FA Expungement LLC	NO	OB	G		x	x	Jack Friedman, Esq.	2		UD	
17-02931	Denver, CO	10/31/2017	05/02/2018	05/21/2018	Charles Schwab & Company Incorporated	ISC	Shawn Anthony Rogers	FA Expungement LLC	NO	NO	G	x	x		Anita Rae Shapiro, Esq.	1	03/16/2018	Not	47
17-02932	New York, NY	11/01/2017	05/21/2018	06/15/2018	National Securities Corporation	ISC	Mark Sam Kolta	FA Expungement LLC	NO	NO	G	x	x		Veronica Ann Williams	1		UD	
17-02935	Phoenix, AZ	11/01/2017	04/02/2018	05/03/2018	Commonwealth Financial Network	No-show	Rebecca Susan Kennell	FA Expungement LLC	NO	NN	G	x			W. Michael Kelley, Esq.	1		Dec	
17-02953	Wilmington, DE	11/02/2017	04/30/2018	06/06/2018	MML Investor Services LLC; Horner Townsend & Kent Incorporated; Equity Services Incorporated	Winget Spadafora & Schwartzberg (ES); Leake & Anderson (HT&K); Stevens & Lee (MMLIS)	Michael Patrick Butterworth	Roland Stock LLC	OB	NO, NN	G	x	x		Edward Blumstein, Esq. - Chair; Louis H. Miron, Esq.; Glenn J. Hansen, CFP	1		CNF	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
17-02976	Dallas, TX	11/03/2017	12/15/2017	12/26/2017	UBS Financial Services Incorporated	ISC	Michael A. Sabota	Bressler Amery & Ross	NO	NO	G	x			1	C. Sumpster Logan	12/01/2017	PoS	14
17-02982	Cincinnati, OH	11/06/2017	06/28/2018	07/31/2018	Barclays Capital Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (BC)	Shaun Perry Nicholson	AdvisorLaw LLC	NO	OB	G/D		x		2	Julius Z. Frager	04/06/2018	Not	83
17-02985	Salt Lake City, UT	11/06/2017	05/21/2018	05/30/2018	Raymond James Financial Services Incorporated	ISC	Aaron Brian Graham	AdvisorLaw LLC	NO	NO	G	x	x	x	1	Mary Margaret Bush, Esq.	03/06/2018	PoS	76
17-02988	Charlotte, NC	11/07/2017	06/28/2018	07/12/2018	AG Edwards & Sons Incorporated	ISC	Kerry Alan Stinman	AdvisorLaw LLC	NO	UN	D				1	Douglas Earl McLaren, Esq.			
17-02993	Kansas City, MO	11/07/2017	04/24/2018	05/22/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Richard Joseph Homuth	AdvisorLaw LLC	NO	OB	G	x	x		1	John R. Loss, Esq.	03/07/2018	Not	48
17-03006	Los Angeles, CA	11/02/2017	09/11/2018	09/25/2018	JP Turner & Company LLC; et al.	ISC; Customer	Robert Joseph Binkele	R. Craig Zafis APC	NO	NO	G	x	x		1	Constance Ellen Boukidis		Rs	
17-03011	Indianapolis, IN	11/09/2017	07/03/2018	07/23/2018	Transamerica Financial Advisors Incorporated	ISC	Roy Matthew Strong	AdvisorLaw LLC	NO	NO	G/D		x		1	Thomas F. Mahoney, Esq.	05/15/2018	Not	49
17-03018	Minneapolis, MN	11/09/2017	07/10/2018	08/07/2018	Securities America Incorporated; LPL Financial LLC	ISC	Sean Patrick McDermott	AdvisorLaw LLC	NO	UN	D				1	Peter N. Thompson		UN	
17-03020	Hartford, CT	11/10/2017	07/13/2018	07/30/2018	Wells Fargo Clearing Services LLC	ISC	Kevin Francis Sullivan	AdvisorLaw LLC	NO	NO	G		x		1	Robert B. Titus		UD	
17-03022	Birmingham, AL	11/10/2017	04/02/2018	04/09/2018	LPL Financial LLC	ISC	Gregory Ray Powell	Bressler Amery & Ross	NO	NO	G	x			1	Harvey R. Linder, Esq.	02/20/2018	Not	41
17-03028	New York, NY	11/12/2017	02/21/2019	03/14/2019	Newedge USA LLC	Schiff Hardin LLP	Michael Marc Liciardello	None	NO	NO	G			x	1	Joseph J. Arata, Esq. - Chair; William G. Binckes, Esq.; Charles L. Henderson, Esq.	02/13/2019	CR	8
17-03045	Tampa, FL	11/13/2017	06/20/2018	07/18/2018	MSI Financial Services Incorporated	ISC	Eric Todd Harris	AdvisorLaw LLC	NO	NO	G/D	x			1	Martin M. Van Luven	05/23/2018	Not	28
17-03061	Philadelphia, PA	11/14/2017	09/19/2018	10/24/2018	Wells Fargo Clearing Services LLC	ISC	Allen Robert Rosenberg	AdvisorLaw LLC; HLBS Law	NO	OB	G		x		1	Diane Ciccone, Esq.	04/12/2018	Not	160
17-03064	Dallas, TX	11/14/2017	04/25/2018	04/30/2018	MML Investors Services LLC	Stevens & Lee	Audrey Sreshta	Ronald P. Wright, Attorney-at-Law	NO	NO, UN	D				1	Patricia Beaujean Lehtola, Esq.		UN	
17-03083	Los Angeles, CA	11/15/2017	06/14/2018	06/26/2018	UBS Financial Services Incorporated	Keesal Young & Logan	John Charles Adams	AdvisorLaw LLC	NO	NO	G	x	x		1	Yvonne Brathwaite Burke	03/06/2018	PoS	100
17-03085	Dallas, TX	11/15/2017	07/20/2018	08/08/2018	Raymond James & Associates Incorporated	ISC	Larry Carlton Milton	AdvisorLaw LLC	NO	NO	D				1	Robert J. Gregory	06/14/2018	Not	36
17-03089	Newark, NJ	11/16/2017	06/25/2018	07/17/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Bernard Paul Martin Jr.	AdvisorLaw LLC	NO	NO	G		x		1	Michael H. DuBoff, Esq.	04/25/2018	Not	61

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-03091	Philadelphia, PA	11/16/2017	07/09/2018	07/27/2018	Morgan Stanley; Prudential Equity Group LLC	Law Offices of Alan S. Brodherson (PEG); ISC (MSSB)	Frank William Esposto	AdvisorLaw LLC	NO	NO	G	x	x	x	1		UD		
17-03107	San Diego, CA	11/17/2017	06/12/2018	06/19/2018	AXA Advisors LLC	No-show	Daniel Eathan Dodgen	Law Office of Patrick R. Mahoney	NO	NO	D				1	04/03/2018	Not	70	
17-03116	Syracuse, NY	11/20/2017	05/16/2018	05/24/2018	Cambridge Investment Research Incorporated	ISC	Michael Edward Chadwick	AdvisorLaw LLC	NO	NO	G		x		1		UD		
17-03119	Dallas, TX	11/20/2017	01/03/2018	01/05/2018	UBS Financial Services Incorporated	ISC	Michael C. Seamands	Bressler Amery & Ross	NO	NO	G	x	x		1	12/27/2017	PoS	7	
17-03122	Baltimore, MD	11/20/2017	05/02/2018	05/14/2018	AXA Advisors LLC	ISC	James Kelly Biggar; Thomas Joseph Graham	Ghabai Law Group LLC	NO	NO	G	x	x	x	1		UD		
17-03142	Las Vegas, NV	11/21/2017	06/05/2018	06/12/2018	Wells Fargo Advisors LLC	ISC	Edward Anthony Montanez Jr.	AdvisorLaw LLC	NO	NO	G	x			1	04/13/2018	Not	53	
17-03143	Cincinnati, OH	11/21/2017	05/14/2018	05/21/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Thomas E. Lieser	Carlile Patchen & Murphy	NO	NO	G	x	x	x	1	03/23/2018	Not	52	
17-03144	Milwaukee, WI	11/21/2017	08/07/2018	10/18/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Lashell Louise Lentz	AdvisorLaw LLC	NO	NO	D				2	04/25/2018	Not	104	
17-03155	New York, NY	11/22/2017	07/16/2018	07/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Peter Nicholas Inserra	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
17-03156	New York, NY	11/22/2017	10/09/2018	10/26/2018	Chase Investment Services Corporation; JP Morgan Securities LLC	Satterlee Stephens LLP	Jason Grady Sanders	Kauff Laton Miller LLP	NO	NO	G	x	x		1	08/30/2018	Not	40	
17-03160	San Juan, PR	11/22/2017	06/25/2018	07/06/2018	Santander Securities LLC	Pietrantoni Mendez & Alvarez	Marko Andres Rendic	AdvisorLaw LLC	NO	NO	G	x		x	1	06/06/2018	PoS	19	
17-03169	Kansas City, MO	11/27/2017	06/26/2018	07/17/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Richard Joseph Homuth	AdvisorLaw LLC	NO	OB	G	x	x		1	04/10/2018	Not	77	
17-03184	Chicago, IL	11/27/2017	07/02/2018	08/07/2018	Cetera Advisor Networks LLC	ISC	Timothy Carlin McCabe; Thomas Edmund Wojcik	Ulmer & Berne	NO	UN	D				1		UN		
17-03188	Newark, NJ	11/28/2017	04/20/2018	04/25/2018	Kestra Investment Services LLC	ISC	Kevin Douglass Ellman; Paul David Miller	Freeman Freeman & Smiley	NO	NO	G	x	x		1		UD		
17-03192	Providence, RI	11/29/2017	07/11/2018	08/06/2018	NyLife Securities LLC	Morgan Lewis & Bockius	Michael Thomas Damon	AdvisorLaw LLC	OB	OB	G/D	x	x		1	04/20/2018	Not	82	
17-03199	New York, NY	11/29/2017	08/07/2018	08/28/2018	Hornblower & Weeks Incorporated	No-show	Kevin Andrew Golden	AdvisorLaw LLC	NO	NN	G		x		1		CNF		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days
17-03202	Los Angeles, CA	11/29/2017	06/18/2018	07/12/2018	Morgan Stanley & Company LLC	ISC	Lisa Ann Detanna	Rahn Muntz O'Grady LLP	NO	NO	G		x		Benjamin F. Breslauer	1	06/01/2018	Not	17
17-03205	Kansas City, MO	11/29/2017	06/28/2018	07/19/2018	Cambridge Investment Research Incorporated	ISC	David Max Garrison	AdvisorLaw LLC	NO	NO	G	x			Jonathan B. Gilbert, Esq.	1	03/19/2018	Not	101
17-03218	New York, NY	11/30/2017	06/12/2018	07/11/2018	Prudential Equity Group LLC	Law Offices of Alan S. Broderson	Brian Arthur Marzulli	Lubiner Schmidt & Palumbo	NO	NO	G	x			Joseph H. Cerame, Esq.	1	05/11/2018	Not	32
17-03241	Hartford, CT	12/04/2017	06/11/2018	07/10/2018	UBS Financial Services Incorporated; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Samuel Phillip Belsito	HLBS Law	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	05/23/2018	PoS	19
17-03259	Phoenix, AZ	12/05/2017	05/23/2018	06/06/2018	MML Investors Services LLC	Stevens & Lee	Darren Jay Wright	FA Expungement LLC	NO	NO	D				Jerry H. Friedland, Esq.	1	05/18/2018	PoS	5
17-03271	Las Vegas, NV	12/06/2017	07/26/2018	08/08/2018	Wells Fargo Investments LLC	ISC	Edward Anthony Montanez Jr.	AdvisorLaw LLC	NO	NO	G		x		Erik R. Siering	1	06/06/2018	Not	50
17-03273	New York, NY	12/06/2017	03/19/2018	03/29/2018	Citigroup Global Markets Incorporated	ISC	Mallory Weil Brenner	Bressler Amery & Ross	NO	NO	G		x		Stephen A. Weiner, Esq.	1	02/12/2018	PoS	35
17-03288	Tampa, FL	12/07/2017	05/31/2018	06/13/2018	MSI Financial Services Incorporated	ISC	Eric Todd Harris	AdvisorLaw LLC	NO	OB	G		x		Edith N. Dinneen, Esq.	1	04/11/2018	PoS	50
17-03295	Oklahoma City, OK	12/07/2017	06/12/2018	07/13/2018	Hilltop Securities Independent Network Incorporated	Jackson Walker LLP	William Wallace Wolfe II	AdvisorLaw LLC	NO	NO	G	x		x	Sherry R. Wetsch, Esq.	2	03/30/2018	Not	74
17-03308	Boca Raton, FL	12/08/2017	06/26/2018	07/11/2018	Edward Jones	Law Office of Joseph D'Elia	Robert Anderson	Amato Law Firm LLC	NO	NO	G		x		Linda M. Foster-Wells	1	06/06/2018	Not	20
17-03347	Chicago, IL	12/12/2017	05/03/2018	06/08/2018	UBS Financial Services Incorporated	ISC	Laurie Barry	Bressler Amery & Ross	NO	NN	G	x	x	x	Lynn Hirschfeld Brahin, Esq.	1	04/13/2018	PoS	20
17-03354	Indianapolis, IN	12/13/2017	09/10/2018	10/24/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	James Robert Schrader	AdvisorLaw LLC	NO	NO	G	x			Tracy L. Allen, Esq.	1	06/06/2018	Not	96
17-03355	Minneapolis, MN	12/13/2017	10/29/2018	11/15/2018	Piper Jaffray & Company	ISC	Charles Edward Duddingston	AdvisorLaw LLC	NO	NO	G	x	x		Brett W. Olander, Esq.	1	09/26/2018	Not	33
17-03356	Indianapolis, IN	12/13/2017	06/26/2018	07/09/2018	Northwestern Mutual Investment Services LLC	ISC	Randall Todd Lehman	AdvisorLaw LLC	NO	NN	G		x		Thomas F. Mahoney, Esq.	1		Dec	
17-03357	Tampa, FL	12/13/2017	07/09/2018	08/03/2018	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Scott George Pinkerton	AdvisorLaw LLC	NO	NO	G/D	x	x		Richard S. Zaifert, Esq.	1		UD	
17-03361	Philadelphia, PA	12/13/2017	06/28/2018	07/18/2018	Pruco Securities LLC	Law Offices of Alan S. Broderson	Mark Steven Kruman	AdvisorLaw LLC	NO	NO	G	x	x		Guillermo L. Bosch, Esq.	1		UD	
17-03365	Des Moines, IA	12/13/2017	08/21/2018	08/31/2018	VSR Financial Services Incorporated	ISC	William Bemis Elson	AdvisorLaw LLC; HLBS Law	NO	OB	D				Michael William Gear	1	08/15/2018	CR	6

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.1(b) Findings			Hrg. Sessions	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-03366	Los Angeles, CA	12/13/2017	06/05/2018	06/21/2018	Royal Alliance Associates Incorporated; et al.	No-show (RAA); Customer	Larry Steven Erlichman	Jones Bell et al.	NO	NO	G	x	x	x	1			Rs	
17-03367	Tampa, FL	12/14/2017	07/12/2018	08/01/2018	MSI Financial Services Incorporated	ISC	Eric Todd Harris	AdvisorLaw LLC	NO	NO	G	x	x		1			UD	
17-03370	Raleigh, NC	12/14/2017	06/05/2018	07/05/2018	Edward Jones & Company Limited Partnership	Law Office of Joseph D'Elia	Richard N. Fisher, Jr.	Ghabai Law Group LLC	NO	NO	G	x	x		1	04/19/2018		Not	47
17-03379	Boca Raton, FL	12/15/2017	08/15/2018	09/05/2018	RBC Capital Markets LLC	Wiand Guerra King PA	Collin Andrew Meyer	Bressler Amery & Ross	NO	NO	G	x	x	x	1	06/25/2018		PoS	51
17-03388	New York, NY	12/15/2017	07/18/2018	08/16/2018	Securities America Incorporated	ISC	Marc L. Scudillo	AdvisorLaw LLC	NO	NO	G		x		2			UD	
17-03397	New York, NY	12/18/2017	06/11/2018	07/17/2018	National Securities Corporation; Continental Broker-Dealer Corporation	ISC	Michael Anthony Schiavello	FA Expungement LLC	NO	NO	G	x	x	x	1	06/07/2018		PoS	4
17-03415	Portland, OR	12/18/2017	02/14/2019	02/27/2019	Ameriprise Financial Services Incorporated	ISC	Daniel John Ruediger	AdvisorLaw LLC	NO	OB	D				1	04/25/2018		Not	295
17-03416	Boston, MA	12/19/2017	06/19/2018	07/06/2018	Morgan Stanley Smith Barney LLC	ISC	Brian Paul MacKinnon; Timothy Paul MacKinnon	Law Offices of Kenneth Meister	NO	NN	G	x	x	x	1			NSR	
17-03421	Milwaukee, WI	12/19/2017	08/01/2018	08/27/2018	LPL Financial LLC	ISC	Brian David Behl	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		1	07/03/2018		Not	29
17-03424	New York, NY	12/19/2017	12/10/2018	01/18/2019	Deutsche Bank Securities Incorporated	Paduano & Weintraub	Joseph Mitchell Cothron	AdvisorLaw LLC	NO	NO	G	x	x		1			UD	
17-03445	Los Angeles, CA	12/21/2017	09/07/2018	09/24/2018	Wells Fargo Clearing Services LLC	ISC	Thomas George Sandkamp	AdvisorLaw LLC	NO	OB	D				1	07/11/2018		Not	58
17-03450	Minneapolis, MN	12/21/2017	07/16/2018	08/09/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Thomas John Brandt	AdvisorLaw LLC	NO	NO	G	x			1	05/30/2018		Not	47
17-03462	New York, NY	12/22/2017	04/15/2019	05/13/2019	Securities America Incorporated; 1st Global Capital Corporation	ISC	Marc L. Scudillo	AdvisorLaw LLC	NO	OB	G		x		4			UD	
17-03471	Phoenix, AZ	12/22/2017	07/24/2018	08/13/2018	Piper Jaffray & Company; UBS Financial Services Incorporated	Keesal Young & Logan (UBSFS); ISC (PJ)	Michael W. Butt	AdvisorLaw LLC	NO	NO	G	x		x	1	05/03/2018		Not	82
17-03473	San Juan, PR	12/22/2017	07/11/2018	08/06/2018	Oriental Financial Services Corporation	ISC	Clara Isabel Fernandez Colorado	Delgado & Fernandez	NO	NO	G	x	x		1	07/09/2018		Not	2
17-03489	Atlanta, GA	12/27/2017	06/05/2018	07/09/2018	Customers only	Customer	Adil Ramzan Ali	Murphy & Anderson	NO	NO	G	x	x		1			Rs	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
17-03499	Detroit, MI	12/28/2017	08/07/2018	09/10/2018	Transamerica Financial Advisors Incorporated	Honigman Miller et al.	Kevin Mark Nast	AdvisorLaw LLC	NO	OB	G		x		1	06/07/2018	PoS	61	
17-03500	New York, NY	12/28/2017	07/11/2018	07/30/2018	First Asset Management Incorporated; Morgan Stanley DW Incorporated	ISC (MSDW); No-show (FAM)	Andrew Evan Samalin	AdvisorLaw LLC	NO	NO	G	x			1	05/17/2018	Not	55	
17-03506	Phoenix, AZ	12/28/2017	09/06/2018	09/19/2018	Piper Jaffray & Company	ISC	Michael W. Butt	AdvisorLaw LLC	NO	NO	G		x		1	07/27/2018	Not	41	
18-00020	Des Moines, IA	12/29/2017	08/28/2018	08/30/2018	FSC Securities Corporation; VSR Financial Services Incorporated	ISC	Marlis Ann Gilbert	AdvisorLaw LLC; HLBS Law	NO	NO	D				1	05/29/2018	Not	91	
18-00022	New York, NY	12/29/2017	11/15/2018	01/30/2019	Wells Fargo Clearing Services LLC	ISC	Stephen Caruso	Malecki Law	NO	NO	G	x	x		2	06/11/2018	OtS	157	
18-00029	Buffalo, NY	01/02/2018	08/14/2018	09/14/2018	Keybanc Capital Markets Incorporated	Ulmer & Berne	Charles Joseph LaRocco	AdvisorLaw LLC	OB	NO	D				1	06/13/2018	PoS	62	
18-00034	Seattle, WA	01/02/2018	07/24/2018	09/13/2018	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Law Offices of Alan S. Brodherson (PEG); Snell & Wilmer (WFCS)	Douglas J. Donnelly	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	1	06/15/2018	Not	39	
18-00053	Minneapolis, MN	01/04/2018	10/10/2018	10/26/2018	Lincoln Financial Advisors Corporation	ISC	Mark Owen Stephan	AdvisorLaw LLC	NO	NO	G		x		1	09/10/2018	Not	30	
18-00069	Philadelphia, PA	01/08/2018	01/03/2019	01/30/2019	Capital Strategies Limited	ISC	Bart Steven Kaplow	AdvisorLaw LLC	NO	NN	G/D	x	x	x	1		Dec		
18-00086	Albuquerque, NM	01/08/2018	06/29/2018	09/13/2018	Wells Fargo Advisors LLC aka Wells Fargo Clearing Services LLC	ISC	John Mark Ross	Moulton Wilson & Arney	NO	NO	G		x		2	06/08/2018	PoS	21	
18-00092	Los Angeles, CA	01/09/2018	11/13/2018	12/24/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Ariel Bobroff; Gary Robert Davis; William Alexander Tarrab	AdvisorLaw LLC	NO	NO	G	x	x		1	10/08/2018	Not	36	
18-00094	San Francisco, CA	01/09/2018	02/05/2019	02/13/2019	Hilltop Securities Incorporated	Reif Law Group	Bradley Todd Glasman	HLBS Law	UK	OB	D				1	12/13/2018	Not	54	
18-00098	St. Louis, MO	01/09/2018	07/17/2018	07/20/2018	LPL Financial LLC	ISC	George Robert Meyer	Ghabai Law Group LLC	NO	NO	G	x	x		1	05/15/2018	PoS	63	
18-00107	Wilmington, DE	01/10/2018	09/06/2018	09/10/2018	Ameriprise Financial Services Incorporated	ISC	James Harold Lee	AdvisorLaw LLC	NO	OB	G	x	x		1	08/03/2018	Not	34	
18-00116	Washington, DC	01/10/2018	08/01/2018	08/20/2018	Morgan Stanley Smith Barney LLC	ISC	Thomas W. Howes	None	NO	NO	G		x		1		UD		
18-00123	Oklahoma City, OK	01/10/2018	09/12/2018	09/28/2018	Ameriprise Financial Services Incorporated	ISC	Gregory Sean Hester	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	08/13/2018	Not	30	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00129	San Francisco, CA	01/11/2018	09/27/2018	10/17/2018	Morgan Stanley & Company LLC	ISC	Sandra I-Hsien Wang	AdvisorLaw LLC	NO	NO	G	x	x		Ralph A. Cotton, CPA	1	09/07/2018	Not	20
18-00134	Washington, DC	01/11/2018	10/23/2018	11/02/2018	Lincoln Financial Securities Corporation	ISC	Marc Scott Schliefer	AdvisorLaw LLC	NO	NO	G	x	x		Douglas Earl McLaren, Esq.	1		UD	
18-00139	San Francisco, CA	01/11/2018	11/05/2018	12/06/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Keith Douglas Seibert	AdvisorLaw LLC	NO	NO	G	x	x		William W. Haskell, Esq.	1	08/23/2018	Not	74
18-00152	Los Angeles, CA	01/12/2018	06/20/2018	07/05/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Shawn Shyama Patt.	None	NO	NO	G		x		Robert Rosen - Chair; Howard Clark Posner; David Maurer, Esq.	1	06/18/2018	PoS	2
18-00154	Newark, NJ	01/12/2018	11/27/2018	01/04/2019	SII Investments Incorporated	ISC	Gregory Jay Chebuske	AdvisorLaw LLC	NO	NO	G	x	x		Louis H. Miron, Esq.	2		UD	
18-00159	San Juan, PR	01/12/2018	06/19/2018	06/28/2018	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC; Bressler Amery & Ross	Jose E. Chaves	Toro Colon et al.	NO	NO	G	x	x	x	Louis David Huss	1	05/07/2018	OtS	43
18-00170	Boston, MA	01/16/2018	10/11/2018	12/03/2018	New England Securities	ISC	Gregory Jay Chebuske	AdvisorLaw LLC	NO	NN	G	x	x		Denise L. Presley, Esq.	1		Dec	
18-00174	Charlotte, NC	01/16/2018	08/28/2018	10/05/2018	Morgan Stanley Smith Barney LLC	ISC	John G. Scott Jr.	Fisher & Phillips	NO	NO	G			x	Michael J. Ahlstrom, Esq.	1	07/19/2018	Not	40
18-00175	Detroit, MI	01/16/2018	10/02/2018	10/23/2018	Citigroup Global Markets Incorporated; Wells Fargo Advisors Financial Network LLC	Bressler Amery & Ross (CGM); ISC (WFAFN)	Jeffrey Fratarcangeli	Shumaker Loop & Kendrick	NO	NO	G		x		Patrick R. Sughroue, Esq. - Chair; Robert J. Scafuri, Esq.; William C. Kubiz, Esq.	1	09/04/2018	Not	28
18-00178	Boston, MA	01/16/2018	11/12/2018	12/07/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mary Brigid Mullin	AdvisorLaw LLC	NO	NO	G	x	x		Susan E. Maloney, Esq.	1	09/12/2018	Not	61
18-00179	Newark, NJ	01/16/2018	11/15/2018	11/19/2018	Raymond James Financial Services Incorporated; LPL Financial LLC	ISC	Daniel Thomas Foran	AdvisorLaw LLC	NO	NO	G	x	x		Michael H. DuBoff, Esq.	1	11/12/2018	CR	3
18-00187	Denver, CO	01/16/2018	07/12/2018	09/04/2018	Edward Jones	ISC	Cheryl Ann Squier	FA Expungement LLC	NO	NO	G		x	x	Michael Jeffrey Norton, Esq.	1	07/10/2018	PoS	2
18-00194	Raleigh, NC	01/17/2018	11/27/2018	12/10/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Garland Richard Homes	AdvisorLaw LLC	NO	NO	G	x			Stuart K. Furman	1		UD	
18-00197	Des Moines, IA	01/17/2018	11/09/2018	02/28/2019	VSR Financial Services Incorporated	ISC	Bradley Todd Glasman	AdvisorLaw LLC	NO	NN	D				Jonathan B. Gilbert, Esq.	2		Dec	
18-00204	New York, NY	01/17/2018	08/08/2018	08/21/2018	Customers only	Customer	Michael Paul Huddles	Imbesi Law PC	NO	NO	G		x		Lise Gabrielle Hunter, Esq. - Chair; Fred S. Pieroni; Joan Seewald Brodsky	1		Rs	
18-00205	New York, NY	01/17/2018	10/15/2018	10/19/2018	JP Morgan Securities LLC; Pershing LLC	Satterlee Stephens LLP (JPMS); ISC (P)	George Joseph Schietinger, Jr.	AdvisorLaw LLC; HLBS Law	OB	NO	G	x		x	Linda J. Baer, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00208	Seattle, WA	01/17/2018	09/27/2018	10/04/2018	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Jared Blair Smith	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	05/08/2018	Not	142	
18-00225	Los Angeles, CA	01/18/2018	07/12/2018	09/14/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Gary Robert Davis; Ariel Bobroff	AdvisorLaw LLC	NO	NO	G	x	x	x	1	05/30/2018	Not	43	
18-00232	Newark, NJ	01/19/2018	09/07/2018	09/19/2018	LPL Financial LLC	ISC	John Patric Hyland	AdvisorLaw LLC	NO	NO	G	x	x	x	1		UD		
18-00234	Newark, NJ	01/19/2018	06/07/2018	06/28/2018	Raymond James Financial Services Incorporated	ISC	John Francis Foran	AdvisorLaw LLC	NO	NO	G	x	x	x	1	05/22/2018	PoS	16	
18-00240	Boca Raton, FL	01/19/2018	07/25/2018	08/08/2018	RBC Capital Markets LLC	Wland Guerra King PA	George Sirigotis	Bressler Amery & Ross	NO	NN	G	x	x		1		Dec		
18-00244	Detroit, MI	01/22/2018	07/13/2018	08/10/2018	Fifth Third Securities Incorporated; Ameriprise Financial Services Incorporated	Jackson Lewis PC (FTS); ISC (AFS)	Mykel Ajani Barnes	Hubbard Snitchler & Parzianello	NO	NO	G		x		1	06/12/2018	Not	31	
18-00245	Tampa, FL	01/22/2018	11/01/2018	11/09/2018	Trustmont Financial Group Incorporated	William T. Krzton, Attorney-at-Law	Robert Barry Harwood	AdvisorLaw LLC	NO	NO	G	x			1	09/28/2018	Not	34	
18-00247	Milwaukee, WI	01/22/2018	10/09/2018	11/16/2018	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Edward Carlton Fox, III	AdvisorLaw LLC	NO	NO	G	x	x		1	06/25/2018	Not	106	
18-00248	Phoenix, AZ	01/22/2018		10/02/2018	Cetera Advisors LLC; Legacy Financial Services Incorporated	Stokes Carmichael & Ernst (LFS); ISC (CA)	John Boone Kincaid	AdvisorLaw LLC	NO	UN	D				0		UN		
18-00250	New York, NY	01/22/2018	09/06/2018	10/08/2018	Credit Suisse Securities (USA) LLC	ISC	George Joseph Schietinger	AdvisorLaw LLC	NO	NO	G		x		1		UD		
18-00261	Buffalo, NY	01/23/2018	09/20/2018	10/31/2018	Gleacher & Company Securities Incorporated; Legg Mason Wood Walker Incorporated	No-show	John Gerard Tyczynski	AdvisorLaw LLC	NO	NO	G		x		1		UD		
18-00262	New York, NY	01/23/2018	09/25/2018	10/09/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Christopher Michael Faggioni	AdvisorLaw LLC	NO	NO	G	x	x	x	1		UD		
18-00276	New York, NY	01/24/2018	09/18/2018	10/02/2018	Ameriprise Financial Services Incorporated	ISC	Michael Lawrence Sangirardi	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
18-00278	New York, NY	01/24/2018	10/15/2018	10/16/2018	Citicorp Investment Services Incorporated	Bressler Amery & Ross	Christopher Michael Faggioni	AdvisorLaw LLC	NO	NN	G	x			1		CNF		
18-00280	Denver, CO	01/24/2018	07/10/2018	07/25/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Thomas John Alley	FA Expungement LLC	NO	NO	G	x			1	07/09/2018	PoS	1	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000/2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved			Date	Detail	Days
18-00289	New York, NY	01/24/2018	08/28/2018	09/05/2018	Kestra Investment Services LLC	ISC	Andrew Scott Brief	AdvisorLaw LLC	NO	NO	G		x		Howard D. Jacob, Esq.	1		UD	
18-00290	Raleigh, NC	01/24/2018	08/09/2018	08/14/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kenneth Fredrick Hill	AdvisorLaw LLC	NO	NO	G	x	x		Leonard E. Benade, PhD	1		UD	
18-00291	Syracuse, NY	01/24/2018	08/01/2018	08/23/2018	Lincoln Financial Advisors Corporation	ISC	John Paul Enright	AdvisorLaw LLC	NO	OB	G		x		James W. (Jim) Geiger	1	07/10/2018	CR	22
18-00292	New York, NY	01/24/2018	10/19/2018	11/29/2018	Eastbrook Capital Group LLC	No-show	Damany Eric Henry	AdvisorLaw LLC	NO	NN	G/D		x		Susan C. Lushing, Esq.	1		CNF	
18-00294	Baltimore, MD	02/05/2018	12/10/2018	12/18/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kent Vincent Pearce	AdvisorLaw LLC	NO	NO	G		x		James A. Hayes	1		UD	
18-00303	Detroit, MI	01/24/2018	10/18/2018	11/12/2018	MML Investors Services LLC; LPL Financial LLC	Kramer & Kramer (MMLIS); ISC (LPLF)	Kevin Clayton Fifield	Kemp Klein Law Firm	NO	NO	G	x	x		Stephen D. Kursman, Esq.	1	06/26/2018	Not	114
18-00315	Hartford, CT	01/26/2018	07/31/2018	09/05/2018	Tucker Anthony Incorporated	Bressler Amery & Ross	Geoffrey L. Fiszal	AdvisorLaw LLC	NO	NO	G	x	x	x	Samuel Harrison Chorches, Esq.	2		UD	
18-00325	Los Angeles, CA	01/26/2018	02/14/2019	07/31/2019	Royal Alliance Associates Incorporated	ISC	Daryl Andrew Cole	HLBS Law	NO	OB	D				Neil S. Jasper	3	01/10/2019	CR	35
18-00328	Pittsburgh, PA	01/31/2018	09/21/2018	10/16/2018	Cetera Advisor Networks LLC	ISC	Timothy Paul Miller; Stephanie A. Hunter	West & Zuberbuhler	NO	NO	G		x		Louis Charles Schmitt, Jr.	1	08/30/2018	Not	22
18-00331	New York, NY	01/29/2018	06/22/2018	08/07/2018	Oppenheimer & Company Incorporated	ISC	Christopher Michael Lazos	Phillipson & Uretsky	NO	OB	G	x			Ted M. Rosen, Esq.	1	05/03/2018	CR	50
18-00333	Washington, DC	01/29/2018	08/22/2018	10/09/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Melanie Folstad	FA Expungement LLC	NO	NO	D				Jane C. Carney, CPA	2	07/24/2018	Not	29
18-00343	Denver, CO	01/29/2018	10/22/2018	11/26/2018	Geneos Wealth Management Incorporated	Kutak Rock LLP	Karl Frederick Frank	AdvisorLaw LLC; HLBS Law	NO	NO	G			x	Donald Neil Tolin	1	10/04/2018	Not	18
18-00344	Los Angeles, CA	01/29/2018	08/15/2018	08/28/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Ralph Bernard Linzmeier Jr.	Law Office of Patrick R. Mahoney	NO	NO	G			x	David J. Anderson	1	07/13/2018	Not	33
18-00373	Denver, CO	01/30/2018	10/17/2018	11/01/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Gary R. Davis	AdvisorLaw LLC	NO	NO	G	x	x		Samuel L. McClaren, Esq.	1	09/17/2018	Not	30
18-00381	New York, NY	01/30/2018	01/04/2019	03/12/2019	Metropolitan Life Insurance Company; MSI Financial Services Incorporated; Morgan Stanley DW Incorporated	ISC	James Stephen Martin	AdvisorLaw LLC	NO	NO	G	x		x	Ted M. Rosen, Esq.	2	12/04/2018	PoS	31
18-00396	Birmingham, AL	01/30/2018	08/28/2018	09/24/2018	Raymond James & Associates Incorporated	ISC	John Roland Russell	Bressler Amery & Ross	NO	NO	G	x	x	x	Harvey R. Linder, Esq.	1	07/25/2018	Not	34
18-00398	San Diego, CA	01/30/2018	08/22/2018	09/27/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Young Mo Chung	AdvisorLaw LLC	NO	NO	G	x	x		Herbert Liberman	2	07/18/2018	Not	35

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.s.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
18-00401	Detroit, MI	01/30/2018	09/05/2018	09/10/2018	Morgan Stanley	ISC	Bruce Kendall Ballard	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Tracy L. Allen, Esq.	1	07/25/2018	Not	42
18-00405	San Francisco, CA	01/31/2018	10/30/2018	12/04/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Sonny Hamesh Gulati	AdvisorLaw LLC	NO	NO	G		x		Philip Aaron Tymon, JD	1	09/27/2018	Not	33
18-00414	Boca Raton, FL	01/31/2018	01/11/2019	01/18/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael P. Halperin	AdvisorLaw LLC; HLBS Law	NO	NN	G	x	x		Bruce K. Isenberg, Esq.	1		CNF	
18-00416	Phoenix, AZ	01/31/2018	08/08/2018	08/15/2018	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Trent W. Montague	AdvisorLaw LLC; HLBS Law	NO	NO	D				Marc Kalish, JD	1	06/26/2018	Not	43
18-00417	Phoenix, AZ	01/31/2018	10/17/2018	10/22/2018	Piper Jaffray & Company; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (PJ)	Michael W. Butt	AdvisorLaw LLC	NO	NO	G	x	x		Marc Kalish, JD	1	09/17/2018	Not	30
18-00418	San Francisco, CA	01/31/2018	09/06/2018	10/18/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Scott Michael MacDonald	Shustak Reynolds & Partners	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	2	05/29/2018	PoS	100
18-00422	Miami, FL	02/01/2018	07/13/2018	08/01/2018	Cetera Investment Services LLC	Winget Spadafora & Schwartzberg	Francisco Javier Fernandez Leon	Harvey & Jenks	NO	NO	G	x	x		Nanci Sondra Landy	1	06/29/2018	OTS	14
18-00427	Washington, DC	02/01/2018	06/14/2018	07/18/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Thomas W. Howes	None	NO	UN	D				Jane C. Carney, CPA - Chair; Christopher Ryan Moore; Bonnie K. Wachtel, Esq.	1			
18-00435	Denver, CO	02/01/2018	09/18/2018	10/02/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Jeffrey Michael Speicher	AdvisorLaw LLC	NO	NO	G	x	x		Rody P. Biggert, Esq.	1	08/20/2018	Not	29
18-00438	Chicago, IL	02/01/2018	07/25/2018	08/15/2018	Wells Fargo Advisors LLC; et al.	ISC	Matthew Lawrence Schultz	Thomas F. Burke PC	NO	NO	G/D	x		x	Peter Ordower, Esq.	1	07/12/2018	Not	13
18-00440	New York, NY	02/02/2018	08/14/2018	09/17/2018	Prestige Financial Center Incorporated	No-show	Costa Tzotzis	FA Expungement LLC	NO	NO	D				Lorrie E. Whitfield	1		UD	
18-00447	Newark, NJ	02/02/2018	06/26/2018	07/19/2018	Nationwide Planning Associates Incorporated	ISC	Keith Joseph Steidle	Stark & Stark	NO	NO	G	x	x		Robert E. Anderson, Esq.	1	06/05/2018	Not	21
18-00448	New York, NY	02/02/2018	08/16/2018	08/20/2018	Sanford C. Bernstein & Company LLC	Milbank Tweed et al.	Robert A. Rothman	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Sanford S. Stevens, Esq.	1		UD	
18-00450	Boca Raton, FL	02/02/2018	10/09/2018	10/18/2018	Dawson James Securities Incorporated	Kaufman Dolowich Voluck LLP	Sean Wesley Mollard	Sallah Astarita & Cox	NO	NO	G			x	Kimberly A. Gilmour, Esq.	1	09/18/2018	Not	21
18-00454	Dallas, TX	02/02/2018	06/08/2018	06/20/2018	Morgan Stanley Smith Barney LLC	ISC	Ira D. Kravitz	Bressler Amery & Ross	NO	NO	G	x	x		Eric Ross Cromartie	1	05/23/2018	PoS	16
18-00459	Chicago, IL	02/02/2018	07/31/2018	08/10/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross	Manfred Hans Hegwer Jr.	AdvisorLaw LLC	NO	NO	G	x	x		Leon Fox, JD	1	06/04/2018	PoS	57

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00462	Kansas City, MO	02/02/2018	10/16/2018	11/19/2018	Pruco Securities LLC	Law Offices of Alan S. Broderson	Matthew Tyler Shull	The Kueser Law Firm	NO	NO	G			x	1	09/26/2018	PoS	20	
18-00463	Baltimore, MD	02/05/2018	12/03/2018	01/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kent Vincent Pearce	AdvisorLaw LLC	NO	NO	G		x	x	1		UD		
18-00464	San Diego, CA	02/05/2018	10/25/2018	11/05/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Thomas Christophe Prentice	AdvisorLaw LLC	NO	NO	G	x			1	09/25/2018	Not	30	
18-00465	Los Angeles, CA	02/05/2018	01/14/2019	02/11/2019	RP Capital LLC	ISC	Antonio Ramirez	HLBS Law	NO	OB	G		x		1	08/27/2018	Not	140	
18-00467	Pittsburgh, PA	02/05/2018	02/05/2019	02/11/2019	Nationwide Securities LLC	Bricker & Eckler	Renick Brown	None	NO	NO	G		x		1	11/29/2018	PoS	68	
18-00468	Omaha, NE	02/05/2018	11/19/2018	12/17/2018	Ameritas Investment Corporation	ISC	David Alan Skutnik	AdvisorLaw LLC	OB	NO	G	x	x		1	06/27/2018	Not	145	
18-00473	New York, NY	02/05/2018	08/27/2018	08/31/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David James Christensen	AdvisorLaw LLC	NO	NO	G		x		1		UD		
18-00480	San Diego, CA	02/05/2018	10/26/2018	12/03/2018	Securities America Incorporated	Freeman Mathis & Gary	Charles George Duncan	FA Expungement LLC	NO	NO	G	x	x		1	08/17/2018	PoS	70	
18-00481	Salt Lake City, UT	02/05/2018	09/27/2018	10/02/2018	Wells Fargo Investments LLC	Jones Bell LLP	Mark Richard Lazar	FA Expungement LLC	NO	NO	G	x			1	09/25/2018	PoS	2	
18-00483	Detroit, MI	02/05/2018	11/14/2018	01/17/2019	Sigma Financial Corporation	Saretsky Hart et al.	Andrew Samuel Perri	AdvisorLaw LLC	NO	NO	G		x		1	10/05/2018	Not	40	
18-00484	Minneapolis, MN	02/05/2018	08/24/2018	09/07/2018	Miller Johnson Steichen Kinnard Incorporated	No-show	Patrick Francis Kelly	AdvisorLaw LLC	NO	NO, UN	D				1		UN		
18-00485	Minneapolis, MN	02/05/2018	09/06/2018	09/13/2018	Wells Fargo Clearing Services LLC	ISC	Rhett Paul Neuman	FA Expungement LLC	NO	NO, UN	D				2		UN		
18-00488	Los Angeles, CA	02/05/2018	11/27/2018	12/19/2018	UBS Financial Services Incorporated	ISC	Michael A. Poutre II	Drinker Biddle & Reath	NO	NO	G			x	1	10/10/2018	PoS	48	
18-00493	New York, NY	02/06/2018	09/14/2018	09/27/2018	Oppenheimer & Company Incorporated; Maxim Group LLC	ISC	Christopher Michael Lazos	Phillipson & Uretsky	NO	NO	G	x	x		1		UD		
18-00494	Newark, NJ	02/06/2018	12/19/2018	01/17/2019	JP Turner & Company LLC	ISC	Robert Emmett Gill	AdvisorLaw LLC	NO	NO	G/D		x		1		UD		
18-00496	Hartford, CT	02/06/2018	12/11/2018	01/08/2019	AG Edwards & Sons Incorporated; RBC Capital Markets LLC	Bressler Amery & Ross (RBCCM); ISC (AGE&S)	Stacie Weiner	AdvisorLaw LLC	NO	NO	G/D		x		1		UD		
18-00501	Tampa, FL	02/06/2018	10/04/2018	10/23/2018	Next Financial Group Incorporated; Woodbury Financial Services Incorporated	ISC	Jeffrey Guy LaBelle	AdvisorLaw LLC; HLBS Law	NO	NO	D				1		UD		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expunged or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00506	San Diego, CA	02/07/2018	10/18/2018	11/23/2018	WaMu Investments Incorporated	ISC	Gabriel Yanez	AdvisorLaw LLC	NO	NO	G	x			1	06/29/2018	Not	111	
18-00507	Los Angeles, CA	02/07/2018	10/10/2018	12/27/2018	RP Capital LLC	ISC	Aaron Douglas Maurer	HLBS Law	NO	NO	G	x	x	x	1	09/12/2018	Not	28	
18-00519	Houston, TX	02/07/2018	09/20/2018	10/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Iain Sharpe	Henneman Rau LLP	NO	NO	G	x	x		1		UD		
18-00520	Houston, TX	02/07/2018	08/29/2018	09/27/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Iain Sharpe	Henneman Rau LLP	NO	NO	G	x	x	x	1		UD		
18-00521	Nashville, TN	02/07/2018	10/22/2018	11/01/2018	Larson Financial Securities LLC	ISC	Lauren Law Oschman	AdvisorLaw LLC	NO	NO	G	x	x		1	09/18/2018	Not	34	
18-00531	Philadelphia, PA	02/08/2018	01/15/2019	01/25/2019	Prudential Equity Group LLC; Wells Fargo Securities LLC; et al.	Law Offices of Alan S. Brodherson (PSLLC); ISC (WFSLLC)	William Christopher Glassman	Offit Kurman PA	NO	NN	G	x	x		1		Rs		
18-00537	Orlando, FL	02/08/2018	11/01/2018	11/19/2018	Wells Fargo Clearing Services LLC	ISC	David Richard Wiercinski II	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	1	07/09/2018	Not	115	
18-00541	San Diego, CA	02/09/2018	08/30/2018	09/19/2018	First Wall Street Corporation; SagePoint Financial Incorporated	ISC	Gabriel Yanez	AdvisorLaw LLC	NO	NO	G		x		1	07/23/2018	Not	38	
18-00557	Boston, MA	02/09/2018	09/27/2018	10/22/2018	Investors Capital Corporation	ISC	Charles Ralston Byrnes	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		1		UD		
18-00558	Houston, TX	02/09/2018	11/12/2018	01/18/2019	Waddell & Reed	Bryan Cave LLP	Beth Ann Hearn	AdvisorLaw LLC	NO	NO	G	x			1	10/08/2018	Not	35	
18-00561	Omaha, NE	02/12/2018	10/18/2018	10/30/2018	Larson Financial Securities LLC	No-show	Richard Reid Frith II	AdvisorLaw LLC	NO	NO	G		x		1	10/01/2018	Not	17	
18-00578	Seattle, WA	02/13/2018	11/19/2018	12/28/2018	Prudential Equity Group LLC; Wells Fargo Clearing Services LLC	Law Offices of Alan S. Brodherson (PEG); ISC (WFCS)	Shawn Michael Richardson	HLBS Law	NO	NO	G		x		1	07/02/2018	Not	140	
18-00606	Phoenix, AZ	02/14/2018	11/13/2018	12/03/2018	Ameriprise Financial Services Incorporated	ISC	Karekin Gerair Kaprelian	FA Expungement LLC	NO	NO	G/D	x	x		1	10/04/2018	PoS	40	
18-00607	San Francisco, CA	02/14/2018	09/11/2018	10/17/2018	Ameritas Investment Corporation	ISC	Dennis Darrel Dachtler	FA Expungement LLC	NO	NO	G		x		1	09/09/2018	PoS	2	
18-00614	Baltimore, MD	02/14/2018	10/05/2018	11/07/2018	Morgan Stanley; et al.	ISC	David Richard Stack	Offit Kurman PA	NO	NO	G	x	x	x	1		Rs		
18-00615	New York, NY	02/14/2018	12/14/2018	01/11/2019	Morgan Stanley; et al.	ISC	David Richard Stack	Offit Kurman PA	NO	NO	G		x		1		Rs		
18-00616	Baltimore, MD	02/14/2018	10/31/2018	11/15/2018	Morgan Stanley Smith Barney LLC	ISC	David Richard Stack	Offit Kurman PA	NO	NO	G	x		x	1		UD		
18-00622	New York, NY	02/15/2018	12/03/2018	01/11/2019	Eastbrook Capital Group LLC	No-show	Thomas Edison Kelly, Jr.	HLBS Law	NO	NO	G/D	x	x	x	4		UD		
18-00632	Baltimore, MD	02/15/2018	08/21/2018	08/24/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Curtis Kim Frazee	AdvisorLaw LLC	NO	NO	G	x			1		UD		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
18-00641	San Francisco, CA	02/16/2018	08/03/2018	10/03/2018	AXA Advisors LLC; et al.	Gordon Rees et al.	Emmanuel Obel	None	NO	NO	G	x	x		Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.) Chair; Gary S. DeWeese; Erik John Renga	1		Rs	
18-00642	San Francisco, CA	02/16/2018	08/16/2018	10/02/2018	Woodbury Financial Services Incorporated; et al.	ISC	Emmanuel Obel	None	NO	NO	G	x	x		Jonathan H. Krottinger, Esq. - Chair; Clifford A. Threlkeld; Reed H. Bement, Esq.	1		Rs	
18-00646	New York, NY	02/16/2018	01/14/2019	02/11/2019	Eastbrook Capital Group LLC	ISC	Thomas Edison Kelly	AdvisorLaw LLC	NO	NO	D				Julian F. Santos, Esq.	1		UD	
18-00657	New York, NY	02/19/2018	11/27/2018	12/10/2018	National Securities Corporation	ISC	Thomas Edison Kelly Jr.	AdvisorLaw LLC	NO	NO	G	x	x		Joseph J. Arata, Esq.	1		UD	
18-00658	Wilmington, DE	02/19/2018	10/15/2018	12/12/2018	LPL Financial LLC	ISC	William R. Walters	AdvisorLaw LLC	NO	NO	G		x		Diane Ciccone, Esq.	1		UD	
18-00661	New York, NY	02/19/2018	09/20/2018	03/04/2019	Chase Investment Services Corporation; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (CIS)	John Douglas Gagliardo	AdvisorLaw LLC	NO	OB	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1	09/17/2018	CR	3
18-00662	San Francisco, CA	02/19/2018	10/11/2018	10/25/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Josephine Tracy White	AdvisorLaw LLC; HLBS Law	NO	NO	G	x			Herb Schwartz	1	09/11/2018	Not	30
18-00664	Newark, NJ	02/19/2018	12/11/2018	02/08/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Robert John Cutrupi	AdvisorLaw LLC	NO	NO	G	x	x		Joan M. Traub, Esq.	2		UD	
18-00670	Tampa, FL	02/19/2018	10/30/2018	12/03/2018	Raymond James & Associates Incorporated	ISC	Richard Happle	AdvisorLaw LLC; HLBS Law	NO	NO	G	x			Darryl C. Wilson, Esq.	1	10/15/2018	PoS	15
18-00672	Newark, NJ	02/20/2018	10/23/2018	11/16/2018	Morgan Stanley & Company LLC	ISC	David Anthony Munoz	AdvisorLaw LLC	NO	UN	G	x	x		Robert E. Anderson, Esq.	1		UD	
18-00674	New York, NY	02/20/2018	12/19/2018	01/25/2019	National Securities Corporation	ISC	Thomas Edison Kelly	AdvisorLaw LLC	NO	OB	G/D	x	x		Robert E. Anderson, Esq.	1		UD	
18-00693	Los Angeles, CA	02/20/2018	10/01/2018	10/09/2018	UBS Financial Services Incorporated	Keesal Young & Logan	Marc M. Rosenbach	AdvisorLaw LLC	NO	NN	G	x	x		Robert D. Sussin, Esq.	1		Dec	
18-00697	Houston, TX	02/20/2018	09/26/2018	10/19/2018	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Michael Shane Sullivan	AdvisorLaw LLC	NO	NO	G	x			Frank M. Romano	1	08/24/2018	Not	33
18-00698	Chicago, IL	02/20/2018		08/31/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark William Birringer	AdvisorLaw LLC; HLBS Law	NO	UN	D				Charles Orlove	0			
18-00699	Orlando, FL	02/20/2018	12/17/2018	04/03/2019	Edward Jones	ISC	Brian John Groh	HLBS Law	NO	OB	G	x	x		John P. Cullem, Esq.	1	08/13/2018	Not	126
18-00700	Milwaukee, WI	02/20/2018	09/27/2018	10/31/2018	American Beacon Partners Incorporated	No-show	Kenneth Philip Sorge	AdvisorLaw LLC	NO	NO	G		x		Tracy L. Nelson, Esq.	1	08/24/2018	Not	34

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00713	Atlanta, GA	02/21/2018	02/05/2019	02/14/2019	CIBC World Markets Corporation; Prudential Equity Group LLC	Law Office of Alan S. Brodherson (PEG); ISC (CIBCWM)	Mark David Rosenberg	AdvisorLaw LLC	NO	NO	G	x	x		Harvey R. Linder, Esq.	1		UD	
18-00714	New York, NY	02/21/2018	09/28/2018	11/05/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Nicholas J. Tagliarino	AdvisorLaw LLC	NO	NO	G		x		Sandra Gale Behrle, Esq.	1		UD	
18-00718	Phoenix, AZ	02/21/2018	09/12/2018	09/26/2018	Morgan Stanley DW Incorporated	ISC	Christopher L. Mette	AdvisorLaw LLC	NO	NO	G	x	x		Merton E. Marks, Esq.	1	08/09/2018	PoS	34
18-00719	Los Angeles, CA	02/21/2018	10/15/2018	03/22/2019	TD Ameritrade Incorporated	Keesal Young & Logan	Peter Edward Cunningham	HLBS Law	NO	NO	G/D		x	x	Elliott David Finkel, Esq.	2	08/01/2018	Not	75
18-00720	Seattle, WA	02/21/2018	11/15/2018	12/13/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Securities Incorporated	Bressler Amery & Ross (MLPFS); ISC (WFS)	Lance J. Williams	AdvisorLaw LLC	NO	NO	G	x			Helen Marinak Blohm, Esq. (fka Helen M. Marinak, Esq.)	1	10/15/2018	Not	31
18-00723	Dallas, TX	02/21/2018	08/13/2018	08/21/2018	Securities America Incorporated	ISC	William Burk Rosenthal	AdvisorLaw LLC	NO	NO	G/D			x	Robert L. Chisolm	1	06/06/2018	Not	68
18-00727	Seattle, WA	06/11/2018	09/06/2018	10/03/2018	NyLife Securities LLC	Morgan Lewis & Bockius	Kevin Dale Peterson	Ryan Swanson & Cleveland	NO	NO	G	x	x		Philip E. Cutler, Esq.	1	06/22/2018	PoS	76
18-00739	Cleveland, OH	02/23/2018	04/24/2018	05/18/2018	UBS Financial Services Incorporated	ISC	Owen C. McBride	Bressler Amery & Ross	NO	NO	G		x		Gregory G. Gocek	1	04/04/2018	PoS	20
18-00740	Cleveland, OH	02/23/2018	04/13/2018	04/27/2018	UBS Financial Services Incorporated	ISC	William G. Murphy; Chad A. Hartup	Bressler Amery & Ross	NO	NO	G	x	x		Susan L. Walker, Esq.	1	03/22/2018	PoS	22
18-00741	Atlanta, GA	02/23/2018	10/05/2018	10/18/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Mark David Rosenberg	AdvisorLaw LLC	NO	OB	D				Robert H. Putnam, Jr., Esq.	1		UD	
18-00748	New York, NY	02/23/2018	11/28/2018	06/12/2019	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC	NO	NO	D				Keely D. Parr, Esq.	2	10/29/2018	PoS	30
18-00758	Honolulu, HI	02/23/2018	10/17/2018	11/01/2018	Cetera Advisor Networks LLC	ISC	Clifford Mathew Robello	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Terry M. Lloyd, CPA, CFA	1	07/02/2018	Not	107
18-00765	Atlanta, GA	02/26/2018	12/18/2018	01/04/2019	Morgan Stanley	ISC	Mark David Rosenberg	AdvisorLaw LLC	NO	NO	G		x		Michael J. Ahlstrom, Esq.	1		UD	
18-00766	New York, NY	02/26/2018	12/17/2018	01/28/2019	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC	NO	NO	G	x	x		Richard W. Cutler, Esq.	1		UD	
18-00768	San Francisco, CA	02/26/2018	02/11/2019	02/20/2019	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Joseph Turner Caselle	HLBS Law	NO	NO	G		x		Arocles Aguilar	1	01/04/2019	PoS	38
18-00769	Dallas, TX	02/26/2018	09/18/2018	09/28/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Bradley Dean Thomas; Paul Randall Valtierra	Berry Odom LLP	NO	NO	G		x	x	Jeff Howard Abrams	1	08/13/2018	Not	36

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00774	New York, NY	02/26/2018	12/10/2018	02/22/2019	Citigroup Global Markets Incorporated; Prudential Equity Group LLC	Bressler Amery & Ross (CGM); Nukk-Freeman & Cerra (PEG)	Kevin George Koch	AdvisorLaw LLC	NO	NO	D				Edward W. Morris, Jr., Esq.	1	02/27/2018	PoS	286
18-00779	Los Angeles, CA	02/26/2018	10/18/2018	11/21/2018	Transamerica Financial Advisors Incorporated	ISC	Anthony DiBernardo	AdvisorLaw LLC	NO	NO	G	x	x	x	Joseph C. Watson, Esq.	1	09/10/2018	PoS	38
18-00781	Los Angeles, CA	02/26/2018	09/13/2018	09/20/2018	Wells Fargo Investments LLC	ISC	Don Ross Martin	AdvisorLaw LLC	NO	NO	G		x		Robert D. Sussin, Esq.	1	08/13/2018	Not	31
18-00783	Los Angeles, CA	02/26/2018	08/23/2018	09/21/2018	Centaurus Financial Incorporated	ISC	Jodi Anne Selleck	Law Offices of Montgomery G. Griffin	NO	NO	G			x	George L. Tindall	1	08/07/2018	PoS	16
18-00786	Chicago, IL	02/26/2018	01/28/2019	02/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John Charles Joyce	AdvisorLaw LLC	NO	NO, UN	D				Kenneth N. Adamson, Esq.	1		UN	
18-00787	Chicago, IL	02/26/2018	12/11/2018	02/28/2019	Mesirow Financial Incorporated	Kopecky Schumacher Rosenburg PC	Jeffrey Brian Mackevich	AdvisorLaw LLC	OB	NO, UN	D				William M. Koziol, Esq.	1		UN	
18-00790	Kansas City, MO	02/26/2018	01/03/2019	01/25/2019	Ameriprise Financial Services Incorporated	ISC	David Max Garrison	AdvisorLaw LLC	NO	NO, UN	D				Robert L. Chisolm	1		UN	
18-00794	New York, NY	02/27/2018	12/10/2018	12/31/2018	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC	NO	OB	G	x			Michael H. DuBoff, Esq.	1	11/13/2018	PoS	27
18-00797	San Francisco, CA	02/27/2018	10/31/2018	11/19/2018	Lincoln Financial Advisors Corporation	Dentons US LLP	Jeff R. Maas	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		Sterling N. Frost	1	08/15/2018	Not	77
18-00799	Chicago, IL	02/27/2018	09/05/2018	09/08/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	David Neale Brown	AdvisorLaw LLC	NO	NO	D				Jonathan B. Gilbert, Esq.	1	08/11/2018	CR	25
18-00812	Miami, FL	02/27/2018	11/01/2018	12/18/2018	Morgan Stanley Smith Barney LLC	ISC	Forrest M. Faro	Bressler Amery & Ross	NO	NO	G	x	x		Will Murphy, Esq.	1	10/23/2018	Not	9
18-00815	New York, NY	02/28/2018	11/01/2018	12/04/2018	Ameriprise Financial Services Incorporated	ISC	Vincent Jerome Camarda	AdvisorLaw LLC; HLBS Law	NO	OB	G	x	x		A. Rene Hollyer, Sr.	1	06/20/2018	Not	134
18-00817	Washington, DC	02/28/2018	11/05/2018	03/06/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Eric B. Candelori	AdvisorLaw LLC	NO	NO	D				Marni E. Byrum, Esq.	1		UD	
18-00821	Chicago, IL	02/28/2018	12/19/2018	03/04/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Michael Theodore Lukas	AdvisorLaw LLC	NO	NO	G	x	x		Gregory G. Gocek	1	10/24/2018	Not	56
18-00824	New York, NY	02/28/2018	09/05/2018	10/26/2018	Du Pasquier & Company Incorporated	No-show	Christopher J. Moran	FA Expungement LLC	NO	NO	G			x	Martin A. Edelstein, Esq.	1	08/23/2018	Not	13
18-00828	Los Angeles, CA	02/28/2018	10/12/2018	11/06/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Allen Frances Schreiber	AdvisorLaw LLC	NO	NO	G/D	x	x		Robert D. Sussin, Esq.	1	09/10/2018	Not	32
18-00829	San Francisco, CA	02/28/2018	11/20/2018	12/26/2018	Morgan Stanley DW Incorporated	ISC	John W. Kettmann	AdvisorLaw LLC	NO	NO	G		x		Philip Aaron Tymon, JD	1	10/19/2018	Not	32

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-00923	Jacksonville, FL	03/07/2018	08/23/2018	09/17/2018	Northwestern Mutual Investment Services LLC	ISC	Michael William Halloran	Tomlinson Law Office PC	NO	NO	G	x			1	08/17/2018	PoS	6	
18-00933	Charlotte, NC	03/08/2018	11/15/2018	11/28/2018	Northwestern Mutual Investment Services LLC	ISC	William McComas Byron	AdvisorLaw LLC	NO	NO	D				1	07/12/2018	Not	126	
18-00938	Hartford, CT	03/08/2018	09/04/2018	09/28/2018	LPL Financial LLC	ISC	William Frederick Warner	AdvisorLaw LLC	NO	NO	G		x	x	1		UD		
18-00939	Wilmington, DE	03/08/2018	12/05/2018	01/16/2019	Wells Fargo Advisors Financial Network	ISC	Janet Kay Redman	AdvisorLaw LLC	NO	UN	D				1		UN		
18-00941	Portland, OR	03/08/2018	02/12/2019	02/14/2019	Royal Alliance Associates Incorporated	ISC	Roger Harvey Blythe	AdvisorLaw LLC	NO	UN	D				1		UN		
18-00942	Charlotte, NC	03/08/2018	10/10/2018	10/23/2018	Wells Fargo Clearing Services LLC	ISC	William Martin Oliver	AdvisorLaw LLC	NO	NO	D				1	09/10/2018	Not	30	
18-00946	New York, NY	03/09/2018	10/15/2018	11/01/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Edward Albert Glenn	AdvisorLaw LLC	NO	NO	G		x	x	1	09/13/2018	Not	32	
18-00947	Boston, MA	03/10/2018	12/12/2018	12/20/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Jeffrey Alan Swett	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
18-00948	Philadelphia, PA	03/09/2018	11/19/2018	01/04/2019	Wells Fargo Clearing Services LLC	ISC	Stephen Frederick Cordasco	AdvisorLaw LLC	NO	NO	G		x		1		UD		
18-00949	New York, NY	03/09/2018	09/06/2018	09/19/2018	Wells Fargo Clearing Services LLC	ISC	Anne Tunney Gagnon; David Rosenberg	Martin LLP	NO	NO	G		x		1		UD		
18-00961	Baltimore, MD	03/09/2018	03/05/2019	03/26/2019	GWN Securities Incorporated	Akerman LLP	Jerrold Eliason Beck	AdvisorLaw LLC	NO	NO	G	x	x		1		UD		
18-00962	Cincinnati, OH	03/09/2018	11/26/2018	01/29/2019	Northwestern Mutual Investment Services LLC	ISC	Kyle Mitchell McLaughlin	AdvisorLaw LLC	OB	OB	D				2	12/14/2018	CR BLH	-18	
18-00966	Jackson, MS	03/09/2018	10/11/2018	10/23/2018	Next Financial Group Incorporated	ISC	Andrew B. Adams	AdvisorLaw LLC	NO	NO	G	x			1	09/11/2018	Not	30	
18-00970	Los Angeles, CA	03/12/2018	10/30/2018	11/13/2018	UBS Financial Services Incorporated	ISC	Ford Bradley Howell	Keesal Young & Logan	NO	NO	D				1	10/23/2018	PoS	7	
18-00971	Boca Raton, FL	03/12/2018	09/19/2018	09/21/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Robert Joseph Debbs	Baritz & Colman	NO	NO	G	x	x	x	1	09/10/2018	PoS	9	
18-00979	Houston, TX	03/13/2018	10/08/2018	11/07/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Kelly Dodson Kerr	AdvisorLaw LLC	NO	NO	G	x			1	09/07/2018	Not	31	
18-00989	San Francisco, CA	03/13/2018	12/11/2018	04/15/2019	Breck & Young Advisors Incorporated; Securities America Incorporated	Freeman Mathis & Gary (SA); No-show (B&YA)	Richard Keith Allison	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		1	10/01/2018	Not	71	
18-00997	New York, NY	03/14/2018	07/10/2018	07/24/2018	HD Vest Investment Services	ISC	John Joseph Vento	AdvisorLaw LLC	NO	NO	G		x		1		UD		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2150 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
18-01003	Washington, DC	03/14/2018	08/07/2018	08/27/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Randall Sandstrom	Pickard Djinis & Pisarri	NO	NN	G	x	x		Olivia Milbank Farrar, JD	1		CNF	
18-01006	Los Angeles, CA	03/14/2018	08/13/2018	09/14/2018	Transamerica Financial Advisors Incorporated	ISC	Diana Mercedes Navarre	AdvisorLaw LLC	NO	NN	G		x		Neil S. Jasper	3		Dec	
18-01008	Dallas, TX	03/15/2018	05/21/2018	05/25/2018	Morgan Keegan & Company Incorporated	ISC	Matthew E. Lasko	Bressler Amery & Ross	NO	NO	G	x			C. Sumpster Logan	1	05/15/2018	PoS	6
18-01019	Newark, NJ	03/15/2018	10/29/2018	11/21/2018	Cambridge Investment Research Incorporated	ISC	Harris Scott Nydick	AdvisorLaw LLC	NO	NO	G	x	x		Catherine Stewart, Esq.	1		UD	
18-01023	Phoenix, AZ	03/15/2018	07/24/2018	07/31/2018	NEXT Financial Group Incorporated	ISC	Rydan Durant Case	AdvisorLaw LLC	NO	NO	G		x		W. Michael Kelley, Esq.	1	06/19/2018	Not	35
18-01024	Atlanta, GA	03/15/2018	10/23/2018	12/11/2018	Wells Fargo Clearing Services LLC	ISC	T.S. Thompson	AdvisorLaw LLC	NO	NO	G		x	x	James C. Hoover, Esq.	1	09/18/2018	Not	35
18-01026	Richmond, VA	03/15/2018	09/26/2018	11/12/2018	LPL Financial LLC	ISC	Thomas Andrew Love	Ghabai Law Group LLC	NO	OB	G	x	x		Carl F. Bowmer, Esq.	1	07/12/2018	Not	76
18-01028	Chicago, IL	03/15/2018	08/15/2018	08/21/2018	LPL Financial LLC	ISC	Tyler Edward Smith	Frost Brown Todd LLC	NO	NO	G	x	x	x	Susan L. Walker, Esq.	1	07/30/2018	Not	16
18-01040	San Diego, CA	03/16/2018	08/16/2018	08/30/2018	Wells Fargo Advisors LLC; Wells Fargo Clearing Services LLC; et al.	ISC	Timothy Patrick Cusick	Duckor Spradling et al.	NO	NO	G		x		Kevin K. Forrester, Esq. - Chair; Mitchell Lee Lathrop; Brian William Heublein	1		Rs	
18-01065	New York, NY	03/20/2018	09/18/2018	10/11/2018	JP Turner & Company LLC	ISC	Rushdi Zalatimo	AdvisorLaw LLC	NO	NO	G/D	x	x	x	Richard W. Vallario, Esq.	1		UD	
18-01067	New York, NY	03/20/2018	09/13/2018	10/01/2018	National Securities Corporation	ISC	Rushdi Zalatimo	AdvisorLaw LLC	NO	NO	G	x			Pamela H. Roderick	1	08/20/2018	Not	24
18-01074	Philadelphia, PA	03/20/2018	12/20/2018	01/08/2019	Syndicated Capital Incorporated	KPL Law Group	James A. Lavorgna	AdvisorLaw LLC	OB	NO	G	x	x		Steven T. Stern, Esq.	1		UD	
18-01078	New York, NY	03/21/2018	11/06/2018	11/13/2018	Investors Capital Corporation	ISC	Steve Baptist	AdvisorLaw LLC; HLBS Law	NO	NO	G			x	Howard D. Jacob, Esq.	1	10/15/2018	Not	22
18-01080	New York, NY	03/21/2018	11/05/2018	12/12/2018	Walnut Street Securities Incorporated; National Planning Corporation; Citigroup Global Markets Incorporated	Bressler Amery & Ross (CGM); ISC (NP & WSS)	Jeremy Paul	AdvisorLaw LLC	NO	NO	G	x	x		Sandra J. Mullings, Esq.	1		UD	
18-01087	Dallas, TX	03/21/2018	10/04/2018	10/19/2018	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	Joe Sidney Cotten	AdvisorLaw LLC	NO	NO	G		x		G. Maynard Green, JD	1	09/04/2018	Not	30
18-01090	Chicago, IL	03/22/2018	12/17/2018	02/07/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Timothy Odonnell Cornell	AdvisorLaw LLC	NO	NO	G	x	x	x	Robert S. Sugarman, Esq.	1	09/24/2018	Not	84

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdts.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
18-01094	Washington, DC	03/22/2018	03/12/2019	04/03/2019	American General Securities Incorporated; Sagepoint Financial Incorporated	ISC (SF); No-show (AGS)	Veralynn Morris Starostecki	AdvisorLaw LLC	NO	UN	D				Douglas Earl McLaren, Esq.	1		UN	
18-01095	Newark, NJ	03/22/2018	09/12/2018	10/17/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	John R. Hudspeth	Wechsler & Cohen	NO	NO	G/D	x			Joseph H. Cerame, Esq.	1		UD	
18-01101	San Diego, CA	03/23/2018	01/28/2019	02/19/2019	FSC Securities Corporation	ISC	Frank Augustine Cuenca	HLBS Law	NO	NO	G/D			x	Robert F. Saint-Aubin, Esq.	1	12/28/2018	PoS	31
18-01111	Houston, TX	03/23/2018	07/24/2018	08/30/2018	Kestra Investment Services LLC as Successor to NFP Securities Incorporated	ISC	Michael G. Rudelson	Moulton Wilson & Arney	NO	NO	G			x	Jeffrey H. Kilgore, Esq.	2	06/20/2018	Not	34
18-01112	Salt Lake City, UT	03/23/2018	11/29/2018	12/31/2018	Commonwealth Financial Network	No-show	Stephen Romney Swensen	AdvisorLaw LLC	NO	NO	G	x	x		Merton E. Marks, Esq.	1	09/19/2018	Not	71
18-01117	San Diego, CA	03/26/2018	10/25/2018	11/14/2018	Securities Service Network LLC	ISC	Frank Augustine Cuenca	AdvisorLaw LLC; HLBS Law	NO	NO	G	x			Mark R. Lee	1	09/25/2018	Not	30
18-01130	Houston, TX	03/27/2018	01/09/2019	02/26/2019	UBS Financial Services Incorporated	None	Robert M. Buchanan	Bressler Amery & Ross	NO	NO	G	x	x	x	Jeffrey R. Jury	1	12/03/2018	Not	37
18-01131	Miami, FL	03/27/2018	12/05/2018	02/06/2019	UBS Financial Services Incorporated	ISC	Nelson F. Faro	Bressler Amery & Ross	NO	NO	G	x	x		Mark Allen Bilawsky	1	11/26/2018	PoS	9
18-01132	Houston, TX	03/27/2018	12/07/2018	02/11/2019	UBS Financial Services Incorporated	ISC	Robert M. Buchanan	Bressler Amery & Ross	NO	NO	G	x	x		Brian James Tagtmeier	1	09/04/2018	Not	94
18-01138	Los Angeles, CA	03/27/2018	01/08/2019	02/04/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Antoine Nabih Souma	Tiffany & Bosco	NO	NO	G		x		Barbara M. Zak, Esq. - Chair; Morris S. Getzels, Esq.; James R. Duncan, Esq.	1	11/15/2018	Not	54
18-01143	Boca Raton, FL	03/27/2018	11/13/2018	11/16/2018	Pacific West Securities Incorporated	No-show	Christopher Grant Conness	AdvisorLaw LLC	NO	NO	G	x	x		Kimberly A. Gilmour, Esq.	1	10/05/2018	PoS	39
18-01153	Los Angeles, CA	03/28/2018	11/13/2018	12/13/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Kurt Charles Jackson	HLBS Law	NO	NO	G/D	x			George L. Tindall	1	10/09/2018	Not	35
18-01162	Albuquerque, NM	03/29/2018	11/14/2018	11/29/2018	AXA Advisors LLC; Investors Capital Corporation; The Equitable Life Assurance Society of the United States	ISC (AXAA, IC); No-show (TELASUSA)	Travis Jerome Hughes	AdvisorLaw LLC	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	07/25/2018	Not	112
18-01168	San Francisco, CA	03/29/2018	12/12/2018	01/22/2019	Lincoln Financial Advisors Corporation	Dentons US LLP	Brandi Rose Stahl	HLBS Law	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	08/06/2018	Not	128
18-01181	New York, NY	03/30/2018	09/28/2018	10/23/2018	UBS Financial Services Incorporated	ISC	Eric Andrew Diton	Bressler Amery & Ross	NO	NO	G		x		Sanford S. Stevens, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
18-01186	Kansas City, MO	03/30/2018	11/14/2018	01/30/2019	LPL Financial LLC	ISC	Donald C. Clark Jr.	AdvisorLaw LLC	NO	NO	G	x	x		Philip J. Glick, Esq.	1	10/09/2018	Not	36
18-01196	San Diego, CA	04/02/2018	11/16/2018	12/18/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (MLPFS); ISC (WFCS)	Scott Daniel Hood	AdvisorLaw LLC	NO	UN	D				Herbert Liberman	1		UN	
18-01217	New York, NY	04/03/2018	10/11/2018	10/26/2018	Continental Broker-Dealer Corporation; National Securities Corporation	ISC	Vasilios Takos	FA Expungement LLC	NO	NO	D				Harrison Johnson	1		UD	
18-01228	New York, NY	04/03/2018	10/18/2018	11/02/2018	Chase Investment Services Corporation; National Securities Corporation; Cetera Advisors LLC	Satterlee Stephens LLP (CIS); ISC (NS, CA)	Mark Sam Kolta	FA Expungement LLC	NO	NO	G	x	x		Richard W. Cutler, Esq.	1	08/23/2018	Not	56
18-01230	San Francisco, CA	04/04/2018	11/05/2018	11/15/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Shane Anthony Brisbin	HLBS Law	NO	NO	G	x	x		Laurel Littman Gothelf, MPH	1	08/27/2018	Not	70
18-01231	Richmond, VA	04/04/2018	09/27/2018	10/03/2018	MML Investors Services LLC	Stevens & Lee	Frederick Thornton Scruggs Jr.	AdvisorLaw LLC	NO	NO	G	x	x		Jane Kwok Ping Tam	1	08/24/2018	Not	34
18-01234	New York, NY	04/04/2018	09/07/2018	09/24/2018	Park Avenue Securities LLC	ISC	Anthony Joseph Domino	Baritz & Colman	NO	NO	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1	08/06/2018	Not	32
18-01243	Boca Raton, FL	04/04/2018	05/06/2019	06/24/2019	AG Edwards & Sons Incorporated	ISC	Colleen Regina Schuhmann	Sallah Astarita & Cox	NO	NO	G		x	x	Robert G. Geeseman, Esq.	1	04/15/2019	PoS	21
18-01253	San Francisco, CA	04/05/2018	09/10/2018	09/27/2018	Securities Service Network LLC	ISC	Timothy Charles Sullivan	AdvisorLaw LLC	NO	NO	G	x	x		Michael Lancaster Garcia	1	08/10/2018	Not	31
18-01254	Dallas, TX	04/05/2018	01/10/2019	04/15/2019	BBVA Securities Incorporated	Balch & Bingham	Lori Ann Welborn	Schneider Miller Reynolds PC	NO	NO	G		x		Patricia Beaujean Lehtola, Esq.	1	04/27/2018	Not	258
18-01264	Dallas, TX	04/05/2018	10/09/2018	11/02/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Donald William Bescher III	Berry Odom LLP	NO	NO	G		x		G. Maynard Green, JD	1	08/30/2018	Not	40
18-01266	Albuquerque, NM	04/05/2018	10/24/2018	11/14/2018	AXA Advisors LLC; The Equitable Life Assurance Society	ISC	Travis Jerome Hughes	AdvisorLaw LLC	NO	OB	D				Daniel M. Yamshon, Esq.	1	10/09/2018	Not	15
18-01269	Boston, MA	04/06/2018	10/23/2018	11/19/2018	Kovack Securities Incorporated	ISC	Luke Gareth Meekins	Godbout Law PLLC	NO	NO	G	x	x		Gerard S. Marsan, Esq.	1	10/22/2018	PoS	1
18-01272	San Diego, CA	04/06/2018	10/23/2018	10/29/2018	Alamo Capital; FSC Securities Corporation	ISC	Timothy Charles Sullivan	AdvisorLaw LLC	OB	NN	D				Mandel E. Himelstein, Esq.	1		CNF	
18-01276	Newark, NJ	04/06/2018	10/16/2018	11/02/2018	Morgan Stanley DW Incorporated	ISC	Thomas Peter Mullooly	AdvisorLaw LLC	NO	NO	G		x		Julian F. Santos, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-01293	New York, NY	04/09/2018	10/16/2018	10/31/2018	JP Morgan Securities LLC	ISC	Ivan Oscar Alfaro-Ismodes	Eugene L. Small PC	NO	NN	G	x		x	1			NSR	
18-01301	Phoenix, AZ	04/06/2018	10/17/2018	11/21/2018	UBS Financial Services Incorporated	ISC	Jason Andres Zilveti	Keesal Young & Logan	NO	NO	G	x	x		1	08/03/2018	Not	75	
18-01303	Atlanta, GA	04/09/2018	02/26/2019	03/19/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Mark David Rosenberg	AdvisorLaw LLC	NO	OB	G/D		x		1	09/26/2018	Not	153	
18-01305	Denver, CO	04/09/2018	10/02/2018	10/17/2018	First Allied Securities Incorporated	ISC	Joseph Sylvester Sturniolo	AdvisorLaw LLC; HLBS Law	NO	NO	D				1	08/06/2018	Not	57	
18-01312	New York, NY	04/10/2018	10/16/2018	11/28/2018	JP Morgan Securities LLC	Satterlee Stephens LLP	Jennifer Austin Hatch	AdvisorLaw LLC	NO	E	NO	G	x	x	x	1	10/13/2018	CR	3
18-01318	Los Angeles, CA	04/10/2018	11/19/2018	12/28/2018	Ameriprise Financial Services Incorporated	ISC	Adam Scot Goldstein	Freeman Mathis & Gary	NO	OB	G	x	x		1	10/19/2018	PoS	31	
18-01331	Omaha, NE	04/11/2018	11/27/2018	01/28/2019	Royal Alliance Associates Incorporated	ISC	Roger Brown Deal	AdvisorLaw LLC	NO	NO	G/D		x		1	10/25/2018	Not	33	
18-01332	Reno, NV	04/11/2018	10/30/2018	11/19/2018	UBS Financial Services Incorporated; Wells Fargo Clearing Services LLC	Keesal Young & Logan (UBSFS); Albert & Will (WFCS)	Kenneth James Meyers	AdvisorLaw LLC	NO	NO	D				1	10/01/2018	Not	29	
18-01333	Los Angeles, CA	04/11/2018	10/29/2018	02/05/2019	Sagepoint Financial Incorporated; National Planning Corporation	ISC	Jeffrey Robert Lavin; Mark James Sudol	Freeman Mathis & Gary	NO	OB	G	x	x		1	10/11/2018	PoS	18	
18-01344	Milwaukee, WI	04/11/2018	10/01/2018	11/09/2018	B.C. Ziegler & Company	Quarles & Brady	Daniel Jay Aiken	AdvisorLaw LLC	NO	NO	G	x	x		1	08/28/2018	Not	34	
18-01354	New York, NY	04/12/2018	04/17/2019	05/08/2019	Stifel Nicolaus & Company Incorporated	ISC	David Vincent Reuben	Jardim Meisner & Susser	NO	NO, UN	G/D	x	x		1		UN		
18-01368	Boca Raton, FL	04/12/2018	10/09/2018	10/18/2018	Raymond James Financial Services Incorporated	ISC	Benjamin Grady Boynton	AdvisorLaw LLC	NO	NO	G	x	x		1	09/10/2018	Not	29	
18-01371	Houston, TX	04/13/2018	01/25/2019	02/12/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Rafael Locken-Testa	AdvisorLaw LLC	NO	NO, UN	D				1		UN		
18-01373	Detroit, MI	04/13/2018	01/08/2019	03/13/2019	Ameriprise Financial Services Incorporated	ISC	Shannan Maureen Denison	HLBS Law	NO	NO	G		x		1	12/07/2018	PoS	32	
18-01400	Los Angeles, CA	04/16/2018	10/24/2018	12/31/2018	Customers only	Customer	Gordon Li-Heng Chen; Nhut Anh Thi Dang	Keesal Young & Logan	OB	OB	G	x	x		1		Rs		
18-01428	Raleigh, NC	04/18/2018	10/04/2018	10/22/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Paul Daniel Knott	AdvisorLaw LLC	NO	NO	G		x		1	09/04/2018	Not	30	
18-01433	Houston, TX	04/19/2018	04/02/2019	05/23/2019	UBS Financial Services Incorporated	ISC	Mark Allen Moore	Bressler Amery & Ross	NO	OB	G	x	x	x	1	03/06/2019	Not	27	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Date	Detail	Days Before First Hearing	
18-01434	Buffalo, NY	04/19/2018	10/29/2018	12/13/2018	Wells Fargo Clearing Services LLC	ISC	Eugene Francis Richardson	FA Expungement LLC	NO	NO	G	x			Ira A. Auerbach	1		UD	
18-01452	Boca Raton, FL	04/20/2018	04/10/2019	04/19/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; Morgan Stanley DW Incorporated; Citigroup Global Markets Incorporated; Oppenheimer & Company Incorporated	Bressler Amery & Ross (CGM, MLPFS); ISC (MSDW, O&C)	Alfred Bonardi	Sallah Astarita & Cox	NO	OB	G	x	x	x	Elena G. Rodriguez	1	03/27/2019	PoS	14
18-01468	San Francisco, CA	04/20/2018	10/08/2018	10/16/2018	Lincoln Financial Advisors Corporation	Dentons US LLP	Virgilio Benedicto Cristobal	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Philip Aaron Tymon, JD	1	09/10/2018	Not	28
18-01475	Houston, TX	04/20/2018	11/05/2018	02/04/2019	Edward Jones	ISC	Michael Shawn Murphy	AdvisorLaw LLC	NO	OB	G	x			Sherry R. Wetsch, Esq.	3	10/04/2018	Not	32
18-01481	Chicago, IL	04/23/2018	12/11/2018	01/18/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	David N. Sheppard	AdvisorLaw LLC	NO	NO	G		x		Thomas F. Mahoney, Esq.	1	11/12/2018	Not	29
18-01482	New York, NY	04/23/2018	11/16/2018	01/02/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Christopher Philip Mittleman	AdvisorLaw LLC	NO	NN	G		x		Michele S. Riley	1		CNF	
18-01495	Montpelier, VT	04/24/2018	10/04/2018	10/22/2018	Ameriprise Financial Services Incorporated	ISC	Denise A. Palmer	AdvisorLaw LLC	NO	NO	G	x	x		Steven T. Stern, Esq.	1		UD	
18-01497	Washington, DC	04/24/2018	11/01/2018	11/20/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Mick Dadlani	AdvisorLaw LLC	NO	NO	G/D		x		Olivia Milbank Farrar, JD	1		UD	
18-01521	Jacksonville, FL	04/25/2018	12/19/2018	01/15/2019	Morgan Stanley	ISC	Kirk L. Gravelle	Stein & Stein	NO	NO	G	x	x	x	Richard S. Zaifert, Esq. - Chair; Susan Dawson, Esq.; Ralph Kennedy Frasier, JD	1	11/20/2018	PoS	29
18-01523	Detroit, MI	04/25/2018	11/27/2018	01/24/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Rubin Fortunato & Harbison	Jeffrey Fratarcangeli	Shumaker Loop & Kendrick	NO	NO	G	x	x		Stephen D. Kursman, Esq. - Chair; Richard Edward Rassel, III; Patrick A. Guenter	1	09/10/2018	Not	78
18-01529	Houston, TX	04/26/2018	12/03/2018	01/31/2019	AXA Advisors LLC	ISC	John Michael McDonough	AdvisorLaw LLC	NO	OB	G	x			Mark C. Walter, JD	1	10/24/2018	Not	40
18-01536	New York, NY	04/26/2018	11/06/2018	12/07/2018	Morgan Stanley & Company LLC	ISC	Robert Scott Gilman	Baritz & Colman	NO	NO	G	x			Howard L. Sobel	1		UD	
18-01540	San Diego, CA	04/26/2018	10/02/2018	10/17/2018	LPL Financial LLC	ISC	Todd Evan Frank	HLBS Law	NO	NO	G	x	x		Mark R. Lee	1	09/07/2018	PoS	25
18-01543	Houston, TX	04/26/2018	09/12/2018	09/24/2018	UBS Financial Services Incorporated	ISC	John Carolyn	Bressler Amery & Ross	NO	NO	G	x			Sherry R. Wetsch, Esq.	1	09/04/2018	PoS	8
18-01545	Houston, TX	05/02/2018	04/02/2019	05/13/2019	UBS Financial Services Incorporated	No-show	John Carolyn; Alfred Gary Kovacs	Bressler Amery & Ross	NO	NO	G	x			Daniel J. Pagnano, Esq.	1		UD	
18-01546	Boca Raton, FL	04/26/2018	11/07/2018	11/13/2018	LPL Financial LLC	ISC	Lionel James Casey III	Ghabai Law Group LLC	NO	NO	G	x	x	x	Elena G. Rodriguez	1	10/09/2018	PoS	29

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000.2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days
18-01553	Philadelphia, PA	04/27/2018	12/13/2018	02/26/2019	WFG Investments Incorporated; PNC Investments; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); Seyfarth Shaw LLP (PNC); ISC (WFGI)	Irvin William Rosenzweig	Coss & Momjian	NO	NO	G		x	x	Carol H. Gold, Esq.	1		UD	
18-01671	Philadelphia, PA	04/30/2018	12/04/2018	02/25/2019	SA Stone Wealth Management Incorporated	ISC	Ian Blane Meierdiercks	AdvisorLaw LLC	NO	NO	G		x		Carol H. Gold, Esq.	1		UD	
18-01672	Syracuse, NY	04/30/2018	11/07/2018	01/22/2019	Wells Fargo Clearing Services LLC	ISC	Marc Alan Johnson	FA Expungement LLC	NO	NO	D				Ralph L. Halpern, Esq.	1		UD	
18-01678	Boca Raton, FL	04/30/2018	12/14/2018	01/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Daryn W. Pingleton	AdvisorLaw LLC	NO	NO	G/D		x		Herbert Branitsky, Esq.	1	12/07/2018	PoS	7
18-01682	New Orleans, LA	05/01/2018	10/12/2018	11/12/2018	FSC Securities Corporation; National Planning Corporation	ISC	Christopher Prentiss Quebedeau	AdvisorLaw LLC	NO	NO	G	x	x		Lynne M. Gomez, Esq.	1	09/12/2018	PoS	30
18-01710	Newark, NJ	05/02/2018	11/02/2018	11/27/2018	Morgan Stanley	ISC	John Bernard Burke	Paduano & Weintraub	NO	NO	G	x	x		Robert E. Anderson, Esq.	1		UD	
18-01718	Miami, FL	05/02/2018	10/16/2018	11/12/2018	UBS Financial Services Incorporated	ISC	Federico J. Sanchez	Bressler Amery & Ross	NO	NO	G		x	x	Barry David Thorpe (fka Barry K. Thorpe, Esq.)	1	10/05/2018	PoS	11
18-01724	New York, NY	05/03/2018	11/08/2018	12/31/2018	Greenpoint Securities LLC	Todd Ratner PLC	James John Raia	AdvisorLaw LLC	NO	NO	G	x	x		Richard W. Cutler, Esq.	1		UD	
18-01731	New York, NY	05/03/2018	12/11/2018	01/08/2019	GunnAllen Financial Incorporated	No-show	Philip William Michals	FA Expungement LLC	NO	NO	G	x	x	x	David John Reilly - Chair; Howard R. Reiss; Alfonso G. Figliolia	1		UD	
18-01738	San Francisco, CA	05/03/2018	11/29/2018	01/14/2019	Vaic Financial Advisors Incorporated; Brecek & Young Advisors Incorporated; Securities America Incorporated	Freeman Mathis & Gary (SA); McElroy Deutsch et al. (VFA); No-show (B&YA)	Richard Maxey	AdvisorLaw LLC; HLBS Law	NO	NO	G		x	x	Sterling N. Frost	1	10/04/2018	PoS	56
18-01740	Los Angeles, CA	05/03/2018	11/07/2018	12/28/2018	JP Morgan Securities LLC	Ogletree Deakins et al.	Lorenzo Daniel Esparza	AdvisorLaw LLC	NO	NO	G	x	x		Kirtley M. Thiesmeyer, Esq.	1	11/06/2018	PoS	1
18-01742	Miami, FL	05/04/2018	03/06/2019	04/17/2019	Morgan Stanley	ISC	Eduardo Isaac Brender	Bressler Amery & Ross	NO	NO	G	x	x		Mark C. Perry, Esq.	1	11/27/2018	Not	99
18-01751	Atlanta, GA	05/04/2018	10/17/2018	11/01/2018	LPL Financial LLC	ISC	David Michael Rath	Ghabai Law Group LLC	NO	NO	G	x	x	x	John F. Allgood, Esq.	1		UD	
18-01757	San Juan, PR	05/07/2018	09/19/2018	10/10/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Edgardo H. Ferrer	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Steven Gerard Goerke, Esq.	1	05/10/2018	Not	132
18-01771	Denver, CO	05/07/2018	11/30/2018	01/15/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Bryan Scott Jarman	HLBS Law	NO	OB	G	x	x		Anita Rae Shapiro	1	10/31/2018	Not	30
18-01772	Salt Lake City, UT	05/07/2018	12/06/2018	02/12/2019	Piper Jaffray & Company	ISC	James William Phillips	AdvisorLaw LLC	NO	NO	D				Paul H. Lamboley, Esq.	1	10/29/2018	PoS	38
18-01773	Los Angeles, CA	05/07/2018	12/19/2018	01/14/2019	Centaurus Financial Incorporated	ISC	Troy Nicholas Tremblay	Keesal Young & Logan	NO	NO	G	x			George L. Tindall	1	11/06/2018	Not	43

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2150 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-01777	New York, NY	05/08/2018	01/03/2019	01/16/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Steven Patrick Flagg	AdvisorLaw LLC	NO	NO	G		x		James S. Hazard	1		UD	
18-01780	Los Angeles, CA	05/08/2018	10/30/2018	11/13/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Laura Marie Raulinaitis	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x		Robert F. Saint-Aubin, Esq.	1	10/09/2018	Not	21
18-01790	San Francisco, CA	05/08/2018	02/08/2019	04/11/2019	Banc of America Investment Services Incorporated; Wells Fargo Investments LLC; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (BAIS); ISC (WFCS, WFI)	Frank Feipang Auyeung	HLBS Law	NO	NO	G	x	x		Daniel M. Yamshon, Esq.	1	01/04/2019	Not	35
18-01791	New Orleans, LA	05/08/2018	11/02/2018	12/17/2018	Morgan Keegan & Company LLC	ISC	Peter Johnston Wright Jr.	AdvisorLaw LLC	NO	NO	G		x		Daniel J. Pagnano, Esq	1	10/01/2018	Not	32
18-01799	Birmingham, AL	05/09/2018	11/14/2018	01/15/2019	Morgan Keegan & Company LLC	ISC	Jay Richard Higgenbotham	AdvisorLaw LLC	NO	NO	G		x		Frances Johnson-Wright, Esq.	2	11/05/2018	PoS	9
18-01800	Boston, MA	05/09/2018	12/06/2018	01/02/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	John William Corbett	AdvisorLaw LLC	NO	NO	G	x	x		Richard J. Grahn, Esq.	1		UD	
18-01802	Boca Raton, FL	05/10/2018	01/15/2019	01/22/2019	GunnAllen Financial Incorporated; JP Turner & Company LLC	ISC (JPT); No-show (GAF)	Anthony Claude Marcello, III	Kalberer LLP	NO	NO	G	x	x		Mark Allen Bilawsky	1	01/09/2019	PoS	6
18-01804	New York, NY	05/10/2018	10/22/2018	01/02/2019	Raymond James & Associates Incorporated	ISC	Carol Ann Silverman	Law Offices of Joseph E. Gasperetti	NO	OB	G	x			Roger B. Jacobs	1		UD	
18-01821	Miami, FL	05/11/2018	01/25/2019	02/28/2019	UBS Financial Services Incorporated	ISC	Forrest M. Faro	Bressler Amery & Ross	NO	NN	G	x	x	x	Martin A. Feigenbaum, Esq.	1		Dec	
18-01830	Cleveland, OH	05/11/2018	11/01/2018	12/19/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Scott Douglas Brown; Alan Dean Fadel	Carlile Patchen & Murphy	NO	NO, NN	G	x	x		Michael L. Fortney, Esq.	1		CNF	
18-01834	Newark, NJ	05/14/2018	11/12/2018	11/30/2018	American Portfolios Financial Services Incorporated	ISC	Michael Francis Clark	RJM Counsel PLLC	NO	NO	G	x	x		Robert E. Anderson, Esq.	1		UD	
18-01850	Newark, NJ	05/15/2018	12/06/2018	01/15/2019	PNC Investments	Seyfarth Shaw LLP	Lawrence V. Sorace	AdvisorLaw LLC	NO	NO	G		x		Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.)	1		UD	
18-01851	Tampa, FL	05/14/2018	05/13/2019	07/08/2019	UBS Financial Services Incorporated	Proskauer Rose LLP	James Lebaron Springer	Stein & Stein	OB	OB	G		x		Richard J. Fuller, CPA - Chair; James Mathieu; Sharon Lee Chernin	4	04/18/2018	CR	390
18-01854	Philadelphia, PA	05/15/2018	11/05/2018	11/14/2018	The ON Equity Sales Company	ISC	Richard Michael Wesselt	AdvisorLaw LLC	NO	OB	D				Joseph J. Dougherty, JD	1	10/17/2018	Not	19
18-01857	New York, NY	05/15/2018	10/25/2018	10/31/2018	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Gordon Samuel Glener	AdvisorLaw LLC	NO	NO, UN	G		x		Howard D. Jacob, Esq.	1		UN	
18-01862	San Francisco, CA	05/15/2018	11/28/2018	01/31/2019	Credit Suisse Securities (USA) LLC	ISC	Kai Chen	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	Mary Margaret Bush, Esq.	1	10/26/2018	PoS	33

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-01875	Phoenix, AZ	05/16/2018	12/04/2018	02/12/2019	National Planning Corporation	ISC	Gary Jesse Deardorff	FA Expungement LLC	NO	NO	G	x			1	Kenneth L. Mann	10/16/2018	Not	49
18-01876	Birmingham, AL	05/18/2018	11/08/2018	02/22/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Isaac Jekuthial Brown	Baker Donelson et al.	NO	NO	G	x			1	Harvey R. Linder, Esq.		UD	
18-01877	Cincinnati, OH	05/16/2018	02/12/2019	05/15/2019	JP Morgan Securities LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); Satterlee Stephens LLP (JPMS); ISC (JPMS)	David Alexander Hertl	Carlile Patchen & Murphy	NO	OB	G/D			x	2	Richard W. Dissen, Esq.	12/11/2018	Not	63
18-01880	Detroit, MI	05/15/2018	10/16/2018	10/31/2018	Lincoln Financial Securities Corporation	ISC	Keith D. Nast	Saretsky Hart et al.	NO	OB	D				1	Patrick R. Sughroue, Esq.	09/11/2018	Not	35
18-01888	Denver, CO	05/16/2018	12/19/2018	01/23/2019	Senra Securities Corporation	ISC	Michael Gary Ball	HLBS Law	NO	NO	G	x		x	1	Donald Neil Tolin	10/01/2018	PoS	79
18-01896	Washington, DC	05/17/2018	10/25/2018	12/03/2018	Merrill Lynch Pierce Fenner & Smith Incorporated; Wells Fargo Clearing Services LLC	Bressler Amery & Ross (MLPFS); ISC (WFCS)	William Richard Blake	Potomac Law Group PLLC	NO	NO	G	x	x		1	Nancy E. Watters, Esq.	09/17/2018	PoS	38
18-01908	New York, NY	05/17/2018	01/11/2019	02/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Steven Patrick Flagg	AdvisorLaw LLC	NO	NO	G	x	x		1	Robert E. Anderson, Esq.		UD	
18-01910	Jacksonville, FL	05/17/2018	02/05/2019	03/14/2019	Morgan Stanley	ISC	Stephen C. Huggins	Bressler Amery & Ross	NO	NO	G		x		1	Muriel Desloovere, Esq.	01/17/2019	Not	19
18-01931	New York, NY	05/19/2018	11/08/2018	01/10/2019	Wells Fargo Clearing Services LLC	ISC	David Scott Powers	Jacobson Law PA	NO	NO	G	x	x		1	John D. Nagy		UD	
18-01937	Dallas, TX	05/18/2018	02/14/2019	03/20/2019	Hilltop Securities Incorporated	Jackson Walker LLP	John Christian Coyle	Lewis Brisbois et al.	NO	OB	G	x	x		1	Eric Ross Cromartie		UD	
18-01950	Raleigh, NC	05/21/2018	12/04/2018	12/27/2018	UBS Financial Services Incorporated	Bressler Amery & Ross	Manish Mehta	Jenks & Harvey	NO	NO	G	x	x		1	Michael E. Weddington, Esq.	11/26/2018	PoS	8
18-01968	Boca Raton, FL	05/23/2018	02/12/2019	02/19/2019	Laidlaw & Company (UK) Limited	ISC	Matthew Ian Turner	HLBS Law	NO	NO	G	x	x		1	Edward R. Niederriter, Esq.	01/11/2019	PoS	32
18-01981	San Francisco, CA	05/23/2018	11/20/2018	12/17/2018	Wells Fargo Investments LLC; Wells Fargo Securities Incorporated; Wells Fargo Clearing Services LLC	ISC	Stephen Mark Seewer	AdvisorLaw LLC; HLBS Law	NO	NO	G	x	x	x	1	Mary Margaret Bush, Esq.	11/09/2018	Not	11
18-01984	Tampa, FL	05/23/2018	02/20/2019	03/27/2019	Raymond James & Associates Incorporated	ISC	Brian William Thomas	HLBS Law	NO	NO	G	x	x		1	Martin M. Van Luven	12/06/2018	Not	76
18-01987	Syracuse, NY	05/24/2018	11/26/2018	12/17/2018	Pruco Securities LLC	Law Offices of Alan S. Brodherson	Jason James Mosher	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		1	Diane Ciccone, Esq.		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-01989	Boston, MA	05/24/2018	12/05/2018	01/18/2019	Wells Fargo Clearing Services LLC	ISC	Mark Alexander Soukup	AdvisorLaw LLC	NO	NO	G	x	x		Robert J. Ambrogi, Esq.	1		UD	
18-01990	Cincinnati, OH	05/24/2018	01/30/2019	03/12/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Clay Coleman	HLBS Law	NO	NO	G	x	x	x	Richard W. Dissen, Esq.	1	12/10/2018	Not	51
18-02025	Wilmington, DE	05/29/2018	02/28/2019	03/14/2019	Wells Fargo Clearing Services LLC	ISC	James Spottswood Gibson	AdvisorLaw LLC	NO	NO	G/D		x		James W. (Jim) Geiger	1		UD	
18-02027	San Francisco, CA	05/29/2018	12/03/2018	01/29/2019	SII Investments Incorporated	Kaufman Dolowich Voluck LLP	Timothy Charles Sullivan	AdvisorLaw LLC	NO	NO	G		x		Peter H. Daly	1	11/12/2018	Not	21
18-02029	Boca Raton, FL	05/29/2018	01/22/2019	01/25/2019	GunnAllen Financial Incorporated	No-show	Matthew Ian Turner	HLBS Law	NO	NO	G	x	x		Kimberly A. Gilmour, Esq.	1	12/21/2018	PoS	32
18-02031	Tampa, FL	05/29/2018	01/24/2019	05/06/2019	Harbor Financial Services LLC	ISC	Brian William Thomas	HLBS Law	NO	NO	G	x	x		Richard S. Zaifert, Esq.	1	12/21/2018	Not	34
18-02046	Reno, NV	05/31/2018	10/17/2018	11/09/2018	Edward D Jones & Company	ISC	Kathe Sorrentino Wilson	None	NO	NO	G		x	x	Darryl J. Horowitz, Esq.	1		UD	
18-02055	San Francisco, CA	06/01/2018	06/11/2019	06/18/2019	Customers only	Customer	David James Hollander	Markun Zusman et al.	OB	OB	D				Laurel Littman Gothelf, MPH - Chair; Alden Sharp Adkins; Shahla F. Ali	1		Rs	
18-02076	Boca Raton, FL	06/05/2018	12/10/2018	12/14/2018	Raymond James & Associates Incorporated	ISC	Trent H. Leyda	Shumaker Loop & Kendrick	NO	NO	G	x	x		Robert Lawrence Ostrov - Chair; Andrew Jay Kohan; Bonnie A. Pearce	1	11/08/2018	Not	32
18-02082	Los Angeles, CA	06/04/2018	11/27/2018	07/15/2019	RP Capital LLC	ISC	Aaron Douglas Maurer	HLBS Law	NO	OB	G/D	x	x	x	Anita Rae Shapiro, Esq.	2	10/26/2018	Not	32
18-02084	Los Angeles, CA	06/04/2018	01/10/2019	01/17/2019	Credit Suisse Securities (USA) LLC	ISC	Darren Ross Edwards	AdvisorLaw LLC	NO	OB	G		x		Joyce L. Hurley	1	10/25/2018	Not	77
18-02088	Pittsburgh, PA	06/04/2018	01/11/2019	03/19/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	James Francis Meyers	AdvisorLaw LLC	NO	NO	G	x	x		James W. (Jim) Geiger	1	11/20/2018	PoS	52
18-02096	Newark, NJ	06/05/2018	10/19/2018	10/31/2018	HD Vest Investment Services	ISC	Brendon Joseph Pierson Jr.	AdvisorLaw LLC	NO	NO	G	x	x	x	Edward W. Morris, Jr., Esq.	1		UD	
18-02105	Newark, NJ	06/06/2018	10/30/2018	11/16/2018	HD Vest Investment Services	ISC	Jeffrey Michael Kotch	AdvisorLaw LLC	NO	NO	G			x	Louis H. Miron, Esq.	1		UD	
18-02110	Los Angeles, CA	06/06/2018	11/20/2018	03/06/2019	City National Securities Incorporated	Keesal Young & Logan	Duncan Earl Rolph	AdvisorLaw LLC; HLBS Law	NO	NO	G		x		Elliott David Finkel, Esq.	1	10/09/2018	Not	42
18-02111	Atlanta, GA	06/06/2018	12/17/2018	01/25/2019	QA3 Financial Corporation	No-show	John Earle Redfearn III	AdvisorLaw LLC	NO	NN	G	x		x	Harvey R. Linder, Esq.	1		CNF	
18-02115	Boston, MA	06/06/2018	12/03/2018	01/18/2019	Morgan Stanley Smith Barney LLC	ISC	Jason Michael Traino	FA Expungement LLC	NO	NO	G	x	x		Mary E. Bassett	1	10/25/2018	PoS	39
18-02137	Newark, NJ	06/07/2018	05/29/2019	06/27/2019	Cetera Advisors LLC; Citigroup Global Markets Incorporated; Morgan Stanley & Company LLC	Bressler Amery & Ross (CGM); ISC (CA, MS)	David Wren	Winget Spadafora & Schwartzberg	NO	NO	G	x			Joseph H. Cerame, Esq.	1		UD	
18-02139	New York, NY	06/07/2018	10/05/2018	12/06/2018	Casimir Capital Limited Partnership	ISC	Richard Anthony Brewster	Gabriel Fischbarg, Attorney-at-Law	NO	NO	G	x	x		Linda J. Baer, Esq. - Chair; Karen Isabel Bedrosian-Richardson; Jonathan Abrams	1	10/31/2018	PoS	-26

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
18-02141	Tampa, FL	06/07/2018	11/09/2018	03/11/2019	Robert W. Baird & Company Incorporated	ISC	Evan Robin Guido	FA Expungement LLC	NO	NO	G		x		Ian S. Greig	1		UD	
18-02148	San Diego, CA	06/08/2018	11/15/2018	12/04/2018	Wells Fargo Clearing Services LLC	ISC	Breanne Polonia fka Breanne Morgan.	Keesal Young & Logan	NO	NO, NN	G		x		Kevin K. Forrester, Esq.	1		SNR	
18-02162	Boston, MA	06/11/2018	03/04/2019	03/22/2019	AG Edwards & Sons Incorporated; Wells Fargo Clearing Services LLC	ISC	Douglas J. John Calnan	AdvisorLaw LLC	NO	NO	G	x	x		Gerard S. Marsan, Esq.	1		UD	
18-02167	San Diego, CA	06/11/2018	11/12/2018	12/13/2018	Lucia Securities LLC	ISC	Raymond Joseph Lucia Jr.	RJM Counsel PLLC	NO	NO	G			x	Mark R. Lee	1		UD	
18-02175	Charlotte, NC	06/12/2018	11/28/2018	01/25/2019	WMA Securities Incorporated; World Group Securities Incorporated	ISC (WGS); No show (WMAS)	John Burke Balcerzak	AdvisorLaw LLC	NO	NO	G		x		Lynne Townsend Albert, Esq.	1	10/29/2018	Not	30
18-02188	Los Angeles, CA	06/12/2018	01/17/2019	02/12/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Simon Matthew Holford	HLBS Law	NO	NO	G	x	x		Michael D. Harrison, Esq.	1	12/13/2018	Not	35
18-02192	Newark, NJ	06/12/2018	12/11/2018	03/27/2019	Atlantic Group Securities Incorporated; Morgan Stanley DW Incorporated	ISC	David Philip Netkin	Louis H. Miron, Attorney-at-Law	NO	NO	G	x	x		Abraham Harry Bunis	1	10/16/2018	PoS	56
18-02196	San Francisco, CA	06/12/2018	12/12/2018	01/09/2019	Ameriprise Advisor Services Incorporated	ISC	Kevin Thomas Moran	AdvisorLaw LLC	NO	UN	D				Herb Schwartz	1		UN	
18-02200	Hartford, CT	06/13/2018	01/17/2019	01/30/2019	Ameriprise Financial Services Incorporated	ISC	Mark Dean Brannigan	AdvisorLaw LLC	NO	NO	G	x			Robert B. Titus	1		UD	
18-02205	New York, NY	06/13/2018	11/30/2018	01/04/2019	Sanford C. Bernstein & Company LLC	Milbank Tweed et al.	David Wilford Allen	AdvisorLaw LLC	NO	NO	G	x			Alice E. Winkler, Esq.	1		UD	
18-02212	St. Louis, MO	06/13/2018	08/02/2018	08/10/2018	UBS Financial Services Incorporated	ISC	Eliot Simon	Bressler Amery & Ross	NO	NO	G			x	Thomas J. Ray, Esq.	1	07/18/2018	Not	15
18-02213	Boca Raton, FL	06/14/2018	09/27/2018	10/11/2018	Morgan Stanley Smith Barney LLC	ISC	Jeffrey H. Leach	Bressler Amery & Ross	NO	OB	G	x	x		Will Murphy, Esq.	2	09/07/2018	PoS	20
18-02219	Newark, NJ	06/14/2018	11/19/2018	04/11/2019	Hennion & Walsh Incorporated	ISC	Joseph Ismael Rodriguez	Hennion & Walsh Inc.	NO	NO	G	x	x	x	Linda J. Baer, Esq.	1		UD	
18-02222	Chicago, IL	06/14/2018	02/14/2019	05/03/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	James Allen	, Law Offices of J.B. Kons	NO	NO	G	x	x		Michael S. Matek, Esq.	2	01/24/2018	PoS	386
18-02236	Newark, NJ	06/15/2018	11/15/2018	01/07/2019	Hennion & Walsh Incorporated	ISC	Patrick Timothy Walsh	Hennion & Walsh Inc.	UK	NO	G		x		Linda J. Baer, Esq.	1		UD	
18-02254	Chicago, IL	06/18/2018	12/27/2018	01/31/2019	World Equity Group Incorporated	ISC	Richard Steven Babjak Jr.	AdvisorLaw LLC	NO	NO	G		x		Ray J. Grzebielski, Esq.	1	11/28/2018	PoS	29

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000/2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-02265	Detroit, MI	06/18/2018	12/05/2018	02/08/2019	Wells Fargo Advisors LLC	Saretsky Hart et al.	Michael M. Anderson	Joseph H. Spiegel PLLC	NO	NO	G	x		x	Jeffrey Mark Bauer, Esq.	1	06/18/2018	Not	170
18-02270	San Francisco, CA	06/19/2018	01/08/2019	01/23/2019	Wells Fargo Clearing Services LLC	ISC	Leila Suelly Gough	AdvisorLaw LLC	NO	UN	D				Herb Schwartz	1		UN	
18-02274	Boston, MA	06/19/2018	01/03/2019	01/30/2019	Morgan Stanley Smith Barney LLC	ISC	Andrew Hughes Zimmerman	AdvisorLaw LLC	NO	NO	G/D		x		Gerard S. Marsan, Esq.	1		UD	
18-02295	Houston, TX	06/20/2018	05/08/2019	07/23/2019	Amegy Investments Incorporated	ISC	Troy Wayne Taylor	None	NO	OB	D				Allan R. Lazor, Esq.	2	06/13/2019	CR BLH	-36
18-02298	New York, NY	06/20/2018	04/17/2019	05/31/2019	GunnAllen Financial Incorporated; JP Turner & Company LLC	ISC	James John Raia	AdvisorLaw LLC	NO	OB	D				Martin A. Edelstein, Esq.	1		UD	
18-02309	Chicago, IL	06/20/2018	11/20/2018	01/21/2019	Fifth Third Securities Incorporated	Jackson Lewis PC	Carolyn Song-Pegg	Saretsky Hart et al.	NO	NO	G	x	x		Leon Fox, JD	1	11/15/2018	PoS	5
18-02320	Boise, ID	06/21/2018	03/04/2019	07/02/2019	Prospera Financial Services Incorporated; VSR Financial Services Incorporated; LPL Financial LLC	ISC	Peter Carmine Covino	AdvisorLaw LLC	NO	NO	G/D		x		Daniel B. MacLeod, Esq.	3	12/31/2018	PoS	63
18-02337	Salt Lake City, UT	06/22/2018	12/14/2018	02/11/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	James William Phillips	AdvisorLaw LLC	NO	NO	G		x		Richard D. Fincher, Esq.	1	11/14/2018	Not	30
18-02364	New Orleans, LA	06/25/2018	01/10/2019	02/01/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark Crider Callahan	FA Expungement LLC	NO	NO	G	x	x	x	David A. Schuler	1	11/14/2018	Not	57
18-02378	Dallas, TX	06/26/2018	01/07/2019	01/23/2019	United Pacific Securities Incorporated; National Planning Corporation	ISC (NP); No-show (UPS)	Eric James Schindler	AdvisorLaw LLC	NO	NO	G/D	x			Mandel E. Himelstein, Esq.	1	12/07/2018	PoS	31
18-02384	Boca Raton, FL	06/27/2018	03/27/2019	04/03/2019	RBC Capital Markets LLC; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (RBCCM)	Dustin Allen Smith	FA Expungement LLC	NO	NO	G	x		x	Steven E. Eisenberg, Esq.	1	01/30/2019	PoS	56
18-02387	Chicago, IL	06/27/2018	10/09/2018	10/15/2018	UBS Financial Services Incorporated	ISC	Christopher S. Pfaff	Bressler Amery & Ross	NO	NO	G	x			Ray J. Grzebielski, Esq.	1	10/01/2018	Not	8
18-02392	Newark, NJ	06/27/2018	02/04/2019	03/14/2019	AXA Advisors LLC; The Equitable Life Assurance Society of The United States; Allstate Financial Services LLC	Seyfarth Shaw LLP (AFS); ISC (AXAA & ELASoUS)	Jeffrey Michael Stillwell	AdvisorLaw LLC	NO	NO	G		x		Louis H. Miron, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-02399	Cincinnati, OH	06/28/2018	12/17/2018	03/26/2019	Ameriprise Financial Services Incorporated	ISC	Jahn Dorab Gazder	Saretsky Hart et al.	NO	NO	G		x		Michael J. Meeusen, Esq.	1	11/29/2018	Not	18
18-02404	Boca Raton, FL	06/28/2018	11/28/2018	12/10/2018	M Holdings Securities Incorporated	ISC	Robert Marshall Jones	Winget Spadafora & Schwartzberg	NO	NO	G		x		Gary M. Landau, Esq.	1		UD	
18-02409	Newark, NJ	06/29/2018	01/15/2019	01/18/2019	Hennion & Walsh Incorporated	ISC	William Hennion	Hennion & Walsh Inc.	NO	NO	G		x	x	Joseph H. Cerame, Esq.	1		UD	
18-02410	Boston, MA	06/29/2018	01/15/2019	01/25/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Andrew Hughes Zimmerman	AdvisorLaw LLC	NO	NO	G	x	x	x	Susan E. Maloney, Esq.	1		UD	
18-02423	Los Angeles, CA	07/02/2018	03/07/2019	03/28/2019	Syndicated Capital Incorporated	KPL Law Group	Albert Alan Aizin	FA Expungement LLC	NO	NO	G	x	x		Robert D. Sussin, Esq.	1	02/17/2019	PoS	18
18-02430	Minneapolis, MN	07/02/2018	02/05/2019	03/01/2019	Berthel Fisher & Company Financial Services Incorporated	ISC	Jonathan Todd Pyne	AdvisorLaw LLC	NO	NO, UN	D				Thomas J. Gmeinder, Esq.	1		UN	
18-02441	Los Angeles, CA	07/04/2018	09/07/2018	10/16/2018	UBS Financial Services Incorporated	ISC	Deborah Lynn Key	Bressler Amery & Ross	NO	NO	G	x	x		Kirtley M. Thiesmeyer, Esq.	1	08/16/2018	PoS	22
18-02451	Salt Lake City, UT	07/05/2018	01/17/2019	02/05/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Richard Martin Potashner	AdvisorLaw LLC	NO	NO	G	x	x		Herbert Liberman	1	11/28/2018	Not	50
18-02456	Los Angeles, CA	07/06/2018	01/29/2019	04/16/2019	Euro Pacific Capital Incorporated; Maxwell Capital Incorporated	ISC	Matt Ward	Kalberer LLP	NO	NO	G			x	David J. Anderson	1	01/28/2019	Not	1
18-02462	Boston, MA	07/06/2018	11/14/2018	01/09/2019	Raymond James Financial Services Incorporated	ISC	Adrienne Elizabeth Rowles	None	NO	NO, UN	D				Paul Peter Nicolai - Chair; Thomas W. Duffey, Esq. (Dissents); Michael Christopher Hildreth	1		UN	
18-02476	Los Angeles, CA	07/09/2018	02/04/2019	02/08/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Ryan David Gordon	HLBS Law	NO	NN	G	x			Robert E. Jenks	1	10/08/2008	Not	3771
18-02494	Detroit, MI	07/10/2018	02/14/2019	03/19/2019	Morgan Stanley DW Incorporated; Morgan Stanley	ISC	Michael Sia Bellware	HLBS Law	NO	NO	G	x	x		Lee Hornberger, JD	1	01/11/2019	PoS	34
18-02514	Phoenix, AZ	07/11/2018	01/15/2019	03/01/2019	Centaurus Financial Incorporated; Invest Financial Corporation; LPL Financial LLC	ISC	Orion Kelly Willis	AdvisorLaw LLC	NO	OB	G	x			Walter Steven Schwartz	1	12/20/2018	PoS	26
18-02528	Orlando, FL	07/12/2018	10/24/2018	02/08/2019	Morgan Stanley fka Smith Barney	ISC	Dale Grubb	Bressler Amery & Ross	NO	NO	D				William E. Schneider	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Date	Detail	Days Before First Hearing	
																			x
18-02531	Indianapolis, IN	07/12/2018	02/13/2019	04/05/2019	Wall Street Access; Prudential Equity Group LLC	Law Office of Alan S. Brodherson (PEG); Clayman & Rosenberg (WSA)	David Lee Garman	AdvisorLaw LLC	NO	NO	G	x	x		Larry Carlson, Esq.	1	01/24/2019	PoS	20
18-02538	New York, NY	07/13/2018	12/19/2018	02/08/2019	American Portfolios Financial Services	ISC	George Gary Elkin	RJM Counsel PLLC	NO	OB	G	x	x	x	Robert E. Anderson, Esq.	1		UD	
18-02579	New York, NY	07/18/2018	01/23/2019	02/08/2019	National Securities Corporation	ISC	Mark Harry Goldwasser	FA Expungement LLC	NO	NO	G			x	Clive I. Morrisk	1		UD	
18-02580	Boca Raton, FL	07/25/2018	03/26/2019	04/24/2019	Argentus Securities LLC; Kestra Investment Services LLC; Securities America Incorporated	D'Amura & Zaidman (KIS); ISC (SA, AS)	Marc Layne Lowell	Adam D. Palmer PA	NO	NO	G	x		x	Richard J. Kaplan, Esq. - Chair; Jonathan Chane; Susan L. Torbin, MS, CFP	2	01/04/2019	Not	81
18-02592	New York, NY	07/20/2018	01/10/2019	01/30/2019	Oppenheimer & Company Incorporated	ISC	Ivan Shore	Satterlee Stephens LLP	NO	NO	G	x			Annamaria Boccia-Smith, Esq. (fka Annamaria Boccia-Kovarcik, Esq.) - Chair; Mary Ellen Burns, Esq.; Madelyn A. Levy, Esq.	1		UD	
18-02605	Portland, OR	07/20/2018	01/31/2019	03/01/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; et al.	Bressler Amery & Ross	Steven Carlon Burch Jr.	None	NO	NO	G		x		Dean J. Dietrich, Esq.	1		Rs	
18-02614	Washington, DC	07/23/2018	01/15/2019	01/30/2019	United Planners Financial Services of America	ISC	Lewis Demiles Baker	FA Expungement LLC	NO	NO	G	x	x		Barbara Davis Solomon, Esq.	1	12/14/2018	PoS	32
18-02621	New Orleans, LA	07/24/2018	01/08/2019	01/23/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Salvadore J. Miletello IV	AdvisorLaw LLC	NO	NO	G	x	x		Barbara L. Edin, Esq.	1	11/15/2018	Not	54
18-02627	Atlanta, GA	07/24/2018	01/17/2019	02/22/2019	Woodbury Financial Services Incorporated	ISC	Thomas Ardavast Kudarauskas	Winget Spadafora & Schwartzberg	NO	OB	G	x	x		Harvey R. Linder, Esq.	1	01/16/2019	CR	1
18-02633	Birmingham, AL	07/24/2018	01/09/2019	02/25/2019	LPL Financial LLC	ISC	Dale Grubb	Bressler Amery & Ross	NO	NO	D				J. Maxwell Williams, Esq.	1	12/07/2018	Not	33
18-02665	Boca Raton, FL	07/26/2018	01/09/2019	02/06/2019	Independent Financial Group LLC; Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross (MLPFS); ISC (IFG)	James Patrick Shawver	HLBS Law	NO	NO	G/D	x			Monroe Mitchel	1	12/07/2018	Not	33
18-02676	Phoenix, AZ	07/30/2018	04/23/2019	06/13/2019	Charles Schwab & Company Incorporated	ISC	Nathaniel S. Barnhart	FA Expungement LLC	NO	E	NO	G		x	Larry Edmonson	1	03/06/2019	PoS	48
18-02677	Hartford, CT	07/30/2018	03/04/2019	03/18/2019	Ameriprise Financial Services Incorporated	ISC	Lyle Hans-Christian Pennell	FA Expungement LLC	NO	NO	G	x			Steven R. Rolnick, Esq.	1		UD	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-02686	Los Angeles, CA	07/27/2018	02/11/2019	03/21/2019	UBS Financial Services Incorporated	ISC	Mark Robert Fasano	Keesal Young & Logan	NO	OB	G	x	x	x	Milton N. Gross	1		UD	
18-02693	New York, NY	07/30/2018	04/05/2019	05/21/2019	Cape Securities Incorporated	ISC	Jason Andrew Hoffman	FA Expungement LLC	NO	NO	G	x	x		Carolyn A. Mann	1		UD	
18-02700	Boca Raton, FL	07/30/2018	11/30/2018	01/24/2019	Ameriprise Advisor Services Incorporated	ISC	Kevin Michael Turnock	AdvisorLaw LLC	NO	NO	G	x			Carl Shechter, Esq.	1	11/20/2018	PoS	10
18-02702	Minneapolis, MN	07/30/2018	02/21/2019	05/15/2019	Ameriprise Financial Services Incorporated	ISC	Kurt Willard Peterson	AdvisorLaw LLC	NO	NO	G	x	x		Gregory G. Gocek	1	01/16/2019	Not	36
18-02710	Oklahoma City, OK	07/31/2018	11/27/2018	01/24/2019	UBS Financial Services Incorporated	ISC	Donald Ray Jackson	Bressler Amery & Ross	NO	NO	G	x			C. Sumpster Logan	1	11/14/2018	PoS	13
18-02712	Phoenix, AZ	07/31/2018	01/28/2019	02/25/2019	Raymond James Financial Services Incorporated; WFG Investments Incorporated	ISC; No-show (WFGI)	Bert Allen Cooper	AdvisorLaw LLC	NO	NO	G	x	x	x	Walter Steven Schwartz	1	12/17/2018	Not	42
18-02731	New York, NY	08/01/2018	03/27/2019	04/12/2019	Aegis Capital Corporation	Sichenzia Ross Ference LLP	Adam Kenneth Stern	Kaufman Dolowich & Voluck	NO	NO	G	x			Amy Jill Baranoff	1	03/18/2019	PoS	9
18-02752	Tampa, FL	08/02/2018	03/02/2019	04/25/2019	American General Securities Incorporated	ISC	Byron Andrew Holz	FA Expungement LLC	NO	NO	G	x			Richard R. Logsdon, Esq.	1	02/17/2019	PoS	13
18-02754	Nashville, TN	08/03/2018	03/18/2019	03/28/2019	HD Vest Investment Services	ISC	Mickey Dean Owen, Jr.	AdvisorLaw LLC	NO	OB	G	x		x	Michael J. Ahlstrom, Esq.	1	01/02/2019	Not	75
18-02756	Boston, MA	08/04/2018	02/12/2019	04/10/2019	Morgan Stanley	ISC	Jonathan Philip Hyett	FA Expungement LLC	NO	NO	G	x			Steven S. Manos	1		UD	
18-02769	Boca Raton, FL	08/06/2018	06/24/2019	07/16/2019	Morgan Stanley Smith Barney LLC; RBC Capital Markets LLC	Dorsey & Whitney (RBCCM); ISC (MSSB)	Robert Brian Sklar	FA Expungement LLC	NO	OB	G	x	x	x	Elena G. Rodriguez	1	05/29/2019	PoS	26
18-02771	Boston, MA	08/03/2018	01/03/2019	01/18/2019	Wells Fargo Clearing Services LLC	ISC	Eric Henry Burt	Wilchins Cosentino Novins LLP	NO	NO	G		x		Frank Sanclemente - Chair; Paul Peter Nicolai; Patrick W. McKeon, Esq.	1		UD	
18-02775	San Francisco, CA	08/07/2018	01/30/2019	04/11/2019	Eplanning Securities Incorporated	No-show	Scott Layne Hultsman	Markun Zusman et al.	NO	NO	G			x	John J. Fitzpatrick, Jr., - Chair; Peter H. Daly; Linda M. McCoy, CPA	1	01/18/2019	Not	12
18-02776	Indianapolis, IN	08/07/2018	02/12/2019	03/28/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Michael Adam Fish	AdvisorLaw LLC	NO	NO	G	x			William M. Getzoff, Esq.	1	01/04/2019	Not	39
18-02786	New York, NY	08/08/2018	11/19/2018	01/09/2019	American Portfolios Financial Services	ISC	David Gary Rey	RJM Counsel PLLC	NO	NO	G	x	x	x	David I. Goldblatt, Esq.	1		UD	
18-02787	Providence, RI	08/08/2018	11/16/2018	12/11/2018	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Marisa F. Pollard	Kalberer LLP	NO	NO	G	x			Samuel Harrison Chorches, Esq.	1	11/02/2018	Not	14

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-02792	Tampa, FL	08/08/2018	04/29/2019	06/25/2019	SA Stone Wealth Management Incorporated	Maynard Cooper & Gale	Margaret Rucker Hixon	FA Expungement LLC	NO	NO	G		x	x	Nicholas John Taldone, Esq.	1	01/30/2019	PoS	89
18-02813	Birmingham, AL	08/09/2018	12/18/2018	02/20/2019	Raymond James & Associates Incorporated	ISC	Dean Morgan Paugh	Bressler Amery & Ross	NO	NO	G	x	x	x	Harvey R. Linder, Esq.	1	12/06/2018	PoS	12
18-02819	Houston, TX	08/09/2018	02/25/2019	04/08/2019	Raymond James & Associates Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross (UBSFS); ISC (RJ&A)	Eric A. Dupre	AdvisorLaw LLC	NO	NO	G	x	x	x	Lynne M. Gomez, Esq.	1	01/11/2019	PoS	45
18-02825	New York, NY	08/10/2018	01/08/2019	01/11/2019	JP Morgan Securities LLC	ISC	Ling Yung Wu	Satterlee Stephens LLP	NO	UN	D				Lorrie E. Whitfield	1			
18-02835	Cincinnati, OH	08/10/2018	03/18/2019	04/10/2019	Edward Jones	Miller Canfield et al.	William Milton Lendl	HLBS Law	NO	NO	G	x	x		Richard W. Dissen, Esq.	1	01/30/2019	Not	47
18-02860	Baltimore, MD	08/13/2018	06/27/2019	07/09/2019	Morgan Stanley DW Incorporated	ISC	Franklyn Edgerton Clarke	Robert Wayne Pearce P.A.	NO	NO	G		x		Richard E. Lauziere, CPA	1	05/13/2019	Not	45
18-02867	Birmingham, AL	08/14/2018	12/19/2018	01/15/2019	Raymond James & Associates Incorporated	ISC	James C. Salem	Bressler Amery & Ross	NO	NO	G	x		x	Earle J. Schwarz, Esq.	1	11/07/2018	Not	42
18-02870	Milwaukee, WI	08/14/2018	02/22/2019	03/28/2019	BC Ziegler & Company	Quarles & Brady	Denise Marie Klemens	AdvisorLaw LLC	NO	NO	G	x	x		Gregory G. Gocek	1	01/16/2019	PoS	37
18-02902	New York, NY	08/16/2018	03/01/2019	05/13/2019	EKN Financial Services Incorporated; National Securities Corporation	ISC	Scott David Shames	FA Expungement LLC	NO	NO	G	x	x	x	Richard Gee	1		UD	
18-02903	New York, NY	08/16/2018	04/17/2019	05/17/2019	National Securities Corporation; Vfinance Investments Incorporated	ISC	Jay Shah	FA Expungement LLC	NO	NO	G/D		x		Julian F. Santos, Esq.	1		UD	
18-02904	New York, NY	08/16/2018	02/07/2019	02/21/2019	Avalon Partners Incorporated	No-show	Jay Shah	FA Expungement LLC	NO	NO	G	x	x		Sam Antar, Esq.	1		UD	
18-02905	Philadelphia, PA	08/16/2018	04/03/2019	06/18/2019	FSC Securities Corporation	ISC	Alfred Francis Matarazzo Jr.	FA Expungement LLC	NO	NO	G/D		x		Patrick Richard Westerkamp, Esq.	1		UD	
18-02908	Dallas, TX	08/16/2018	04/25/2019	06/17/2019	Wachovia Securities Incorporated	ISC	Marvin Dean Ferguson	FA Expungement LLC	NO	OB	G	x	x		Andrea U. Calve, Esq.	1	03/29/2019	PoS	27
18-02932	Milwaukee, WI	08/17/2018	01/28/2019	02/25/2019	BC Ziegler & Company	Quarles & Brady	Andrew Michael Wizarde	AdvisorLaw LLC	NO	NO	G	x			Leon Fox, JD	1	12/21/2018	Not	38
18-02936	New York, NY	08/20/2018	05/06/2019	05/22/2019	Aegis Capital Corporation; GunnAllen Financial Incorporated; State Capital Markets Corporation	Kaufman Dolowich Voluck LLP (AC); No-show (GAF, SCM)	Nick Eugene Son	FA Expungement LLC	NO	NO	G	x	x	x	Arthur Neil Tolciss, Esq.	1		UD	
18-02942	Milwaukee, WI	08/20/2018	03/06/2019	05/16/2019	B.C. Ziegler & Company	Quarles & Brady	William Gerard Morse	AdvisorLaw LLC	NO	NO	G	x		x	David J. Hase, Esq.	1	01/04/2019	Not	61

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000Z100 Findings			Hrg. Sessions	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-02958	Newark, NJ	08/21/2018	03/06/2019	03/15/2019	American Portfolios Financial Services Incorporated	ISC	Chi-Hong Chu	RJM Counsel PLLC	NO	NO	G		x		Patrick Richard Westerkamp, Esq.	1		UD	
18-02979	Los Angeles, CA	08/23/2018	02/26/2019	04/02/2019	Transamerica Financial Advisors Incorporated	ISC	Jeffrey M. Sorensen	HLBS Law	NO	NO	G		x		Joyce L. Hurley	1	01/18/2019	Not	39
18-02999	Boca Raton, FL	08/24/2018	03/20/2019	03/26/2019	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Mark Richard Maller	Jonathan D. Kaney III, Attorney-at-Law	NO	NO	G	x	x	x	Steven Gerard Goerke, Esq. - Chair; Barry David Thorpe (fka Barry K. Thorpe, Esq.); Howard L. Conklin, Esq.	1	03/07/2019	Not	13
18-03000	San Juan, PR	08/31/2018	01/24/2019	01/28/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	David L. Rojas	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Gerald Silverman, Esq.	1	08/27/2018	Not	150
18-03001	San Juan, PR	08/24/2018	03/28/2019	04/17/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	David L. Rojas	Toro Colon Mullet PSC	NO	OB	G	x	x		Seth L. Finkel, Esq.	1	08/27/2018	Not	213
18-03012	Detroit, MI	08/26/2018	03/22/2019	04/23/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Martin Lee Schroeder	None	NO	NO	G		x		Michael James Malone - Chair; Jeffrey Mark Bauer, Esq.; Anthony J. Bove, III	1	03/20/2019	PoS	2
18-03036	Boca Raton, FL	08/27/2018	02/19/2019	02/26/2019	Independent Financial Group LLC; Quick & Reilly Incorporated	Bressler Amery & Ross (Q&R); ISC (IFG)	William David Isaacson	HLBS Law	NO	NO	G	x	x		Mark Allen Bilawsky	1	01/16/2019	Not	34
18-03041	Columbia, SC	08/28/2018	05/08/2019	06/13/2019	Raymond James Financial Services Incorporated	ISC	Joseph David Schofield III	Matasar Jacobs LLC	NO	NO	G		x	x	Maurice M. Feller, Esq.	1	03/06/2019	Not	63
18-03049	Los Angeles, CA	08/28/2018	03/01/2019	04/09/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Richard Jay Zinman	Law Office of Patrick R. Mahoney	NO	NO	G	x	x	x	Michael D. Harrison, Esq.	1	02/07/2019	PoS	22
18-03060	Denver, CO	08/29/2018	05/07/2019	05/14/2019	Prudential Equity Group LLC	Law Offices of Alan S. Brodherson	James William McLellan	HLBS Law	NO	NN	D				Marilyn R. Lewis, Esq.	1		CNF	
18-03098	Detroit, MI	08/30/2018	04/04/2019	05/23/2019	Leonard & Company; Broad Street Securities Incorporated; Newbridge Securities Corporation	Kaufman Dolowich & Voluck (NS); No-show (L, BSS)	James William McLellan	HLBS Law	NO	NO	G		x		Tracy L. Allen, Esq.	1	03/12/2019	PoS	23
18-03114	Philadelphia, PA	09/04/2018	02/04/2019	02/08/2019	TD Ameritrade Incorporated	ISC	Dominic Fredo Galati	Miles & Stockbridge	NO	NO	G		x		Carol H. Gold, Esq.	1		UD	
18-03140	Boca Raton, FL	09/06/2018	03/04/2019	03/06/2019	Wells Fargo Clearing Services LLC	ISC	Jeffrey Newman	Stein & Stein	NO	NO	G	x			Paul J. Burkhardt - Chair; Mitchell Stephen Feig; Karen Z. Fischer	1	08/24/2018	CR	192

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000Z130 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-03152	Seattle, WA	09/06/2018	06/03/2019	07/03/2019	Pacific West Securities Incorporated	No-show	Erinn June Ford; Jeffrey Scott Sims	Markun Zusman et al.	NO	UN	D				1			UN	
18-03154	Seattle, WA	09/06/2018	05/31/2019	07/03/2019	Pacific West Securities Incorporated	No-show	Erinn June Ford; Jeffrey Scott Sims	Markun Zusman et al.	NO	NO	G			x	1	01/15/2019	Not	136	
18-03156	Seattle, WA	09/06/2018	05/01/2019	05/29/2019	Pacific West Securities Incorporated	No-show	Erinn June Ford	Markun Zusman et al.	NO	NO, NN	G			x	1		CNF		
18-03166	Manchester, NH	09/07/2018	01/24/2019	02/07/2019	Wells Fargo Advisors Financial Network	ISC	Colleen E. Farley	FA Expungement LLC	NO	NO	G	x	x		1		UD		
18-03173	Pittsburgh, PA	09/07/2018	03/08/2019	04/15/2019	Lincoln Financial Distributors Incorporated	ISC	Justin M. Bonavitacola	Kaufman Dolowich & Voluck	NO	NO	G	x		x	1	03/04/2019	PoS	4	
18-03196	Miami, FL	09/10/2018	04/24/2019	06/20/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; UBS Financial Services Incorporated	Bressler Amery & Ross	Thomas A. Zur	HLBS Law	NO	NO	G	x	x	x	1	02/07/2019	PoS	76	
18-03213	San Diego, CA	09/12/2018	03/20/2019	04/23/2019	LPL Financial LLC	ISC	Nisha Sandeep Varma	HLBS Law	NO	NO	G	x	x	x	1	01/16/2019	Not	63	
18-03214	San Diego, CA	09/12/2018	04/12/2019	05/06/2019	Sagepoint Financial Incorporated	ISC	Peter Ivan Michael Shusterman	HLBS Law	NO	NO	G		x		1	01/23/2019	Not	79	
18-03225	New York, NY	09/14/2018	02/13/2019	04/08/2019	JP Morgan Securities LLC; Wells Fargo Clearing Services LLC	Satterlee Stephens LLP (JPMS); ISC (WFCS)	John Andrew Nelson	Law Offices of Jordan D. Becker	NO	NO	G	x	x	x	1		UD		
18-03254	Baltimore, MD	09/17/2018	04/09/2019	06/06/2019	Legg Mason Wood Walker Incorporated; Citigroup Global Markets Incorporated; Morgan Stanley	Bressler Amery & Ross (CGM); ISC (MSSB); No-show (LMWW)	Ronald R. Wetzel Jr.	AdvisorLaw LLC	NO	NO	G/D	x	x		2	01/30/2019	Not	69	
18-03262	New York, NY	09/18/2018	02/14/2019	03/04/2019	GunnAllen Financial Incorporated	ISC	Raffaele Gambardella	FA Expungement LLC	NO	NO	G	x	x	x	1	02/13/2019	PoS	1	
18-03264	New York, NY	09/18/2018	03/14/2019	05/14/2019	Continental Broker-Dealer Corporation; National Securities Corporation	ISC	Michael Fasciglione	FA Expungement LLC	NO	NO	G	x	x		2	02/17/2018	PoS	390	
18-03265	New York, NY	09/18/2018	05/01/2019	05/30/2019	JP Morgan Securities LLC; Morgan Stanley	Satterlee Stephens LLP (JPMS); ISC (MSSB)	Ronald Stillman Cole	Weltz Law PC	NO	NO	G/D	x	x		2	04/01/2019	Not	30	
18-03267	Los Angeles, CA	09/18/2018	02/13/2019	03/04/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Matthew Martin Howley	Kalberer LLP	NO	NO	G	x	x		1	02/06/2019	PoS	7	
18-03296	Boston, MA	09/19/2018	05/29/2019	06/19/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Natasha Helen Lessard	FA Expungement LLC	NO	NO	G	x			1		UD		

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000/2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
18-03332	Los Angeles, CA	09/21/2018	06/07/2019	06/17/2019	JP Turner & Company LLC	ISC	Robert Joseph Binkele	FA Expungement LLC	NO	NO	G	x	x	x	Anthony D. DeToro, Esq.	1	04/09/2019	Not	59
18-03335	Wichita, KS	09/21/2018	02/27/2019	04/05/2019	Customers only	Customer	David E. Shoemith	Crowe & Dunlevy	NO	NO	G	x	x		Michael William Gear - Chair; Robert J. Gregory; Jonathan H. Larson, Esq.	1		Rs	
18-03368	Birmingham, AL	09/25/2018	02/20/2019	06/24/2019	Raymond James & Associates Incorporated	ISC	David Reid Petty	Bressler Amery & Ross	NO	NO	G	x			Debra Black Leo	2	02/01/2019	Not	19
18-03405	Memphis, TN	09/27/2018	02/12/2019	03/06/2019	B. Riley Wealth Management Incorporated	ISC	Albert May Alexander Jr.	Baker Donelson et al.	NO	NO	G	x		x	Langfred W. White, Esq.	1	02/08/2019	CR	4
18-03406	San Diego, CA	09/27/2018	04/04/2019	05/31/2019	Centaurus Financial Incorporated	ISC	Michael Raymond Frager	R. Craig Zafis APC	NO	NO	G		x		Mitchell Lee Lathrop	1		UD	
18-03423	Raleigh, NC	09/28/2018	05/02/2019	06/07/2019	Morgan Keegan & Company LLC	ISC	Kenneth Vincent Nelson	FA Expungement LLC	NO	NO	G			x	Richard James Igou	1	03/19/2019	PoS	44
18-03427	Chicago, IL	09/28/2018	03/05/2019	04/03/2019	World Equity Group Incorporated	ISC	Dennis Patrick Ryan Jr.	AdvisorLaw LLC	NO	NO	G		x		Leon Fox, JD	1	01/30/2019	PoS	34
18-03439	New York, NY	10/01/2018	05/23/2019	06/14/2019	Morgan Stanley Smith Barney LLC	ISC	James C. Steele	Law Offices of Kevin T. Hoffman	NO	NO	G	x			Cynthia A. DiMarco, Esq. - Chair; Brian John Gallagher; Mark J. Russell	1	03/15/2019	PoS	69
18-03457	Newark, NJ	10/02/2018	05/09/2019	05/23/2019	JW Barclay & Company Incorporated; Newbridge Securities Corporation	Kaufman Dolowich & Voluck (NS); ISC (JWB)	Gerald Richard Sharpe Jr.	FA Expungement LLC	NO	NO	D				Julian F. Santos, Esq.	1	03/19/2019	PoS	51
18-03458	Manchester, NH	10/02/2018	05/30/2019	06/13/2019	Citigroup Global Markets Incorporated; Wells Fargo Advisors Financial Network	Bressler Amery & Ross (CGM); ISC (WFAFN)	Robert Robbins	FA Expungement LLC	NO	NO	G	x	x		Robert S. Hark, Esq.	1	04/23/2019	PoS	37
18-03459	Chicago, IL	10/02/2018	05/07/2019	05/14/2019	Wells Fargo Clearing Services LLC	ISC	Scott Charles Kurkjian	FA Expungement LLC	NO	NO, UN	D				Jonathan B. Gilbert, Esq.	1		UN	
18-03468	Boca Raton, FL	10/03/2018	06/07/2019	07/12/2019	Morgan Stanley Smith Barney LLC	ISC	Luis J. Alayo-Riera	Sallah Astarita & Cox	NO	NO	G			x	Monica I. Salis, Esq.	1	06/03/2019	Not	4
18-03476	Boca Raton, FL	10/03/2018	04/23/2019	05/08/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	Brett Charles Oley	HLBS Law	NO	NO	G	x	x		James W. Geiger, Esq.	1	03/27/2019	PoS	27
18-03479	Miami, FL	10/04/2018	03/05/2019	04/08/2019	Morgan Keegan & Company	ISC	Alejandro Mendieta	Winget Spadafora & Schwartzberg	NO	NO	D				Sidney J. Wartel, JD	1	03/01/2019	PoS	4
18-03482	Miami, FL	10/04/2018	03/05/2019	04/02/2019	Morgan Keegan & Company	ISC	Alejandro Mendieta	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		Mark C. Perry, Esq.	1	03/01/2019	PoS	4
18-03484	Miami, FL	10/04/2018	02/05/2019	02/15/2019	Morgan Keegan & Company LLC	ISC	Alejandro Mendieta	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		Mark Allen Bilawsky	1	01/31/2019	PoS	5
18-03509	Boca Raton, FL	10/08/2018	02/26/2019	02/27/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Gregory James O'Hare	Baritz & Colman	NO	NO	G		x		Carl Shechter, Esq.	1	02/15/2019	Not	11

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
18-03530	New York, NY	10/09/2018	03/29/2019	04/12/2019	Merrill Lynch Pierce Fenner & Smith Incorporated; et al.	Bressler Amery & Ross	Johnson George Andrews	None	NO	NO	G			x	Roger B. Jacobs - Chair; Harrison Johnson; Robert A. Cohen, Esq.	1		Rs	
18-03545	Dallas, TX	10/10/2018	04/22/2019	06/05/2019	Sagepoint Financial Incorporated	ISC	Heath Patrick Abernathy	Jardim Meisner & Susser	NO	NO	G	x	x		James W. Kerr, Jr.	1	04/17/2019	PoS	5
18-03558	San Juan, PR	10/10/2018	04/10/2019	04/23/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Hermann Josef Hartell	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Martin A. Feigenbaum, Esq.	1	04/01/2019	Not	9
18-03567	Hartford, CT	10/11/2018	02/12/2019	02/26/2019	HD Vest Investment Services	ISC	Mark Edwards	AdvisorLaw LLC	NO	NO	G	x	x		Samuel Harrison Chorchos, Esq.	1		UD	
18-03570	Dallas, TX	10/11/2018	03/26/2019	04/22/2019	JP Morgan Securities LLC	Satterlee Stephens LLP	Rhyan Khawar Young	AdvisorLaw LLC	NO	OB	G/D	x	x		Jeff Howard Abrams	1	02/27/2019	PoS	27
18-03591	Boca Raton, FL	10/15/2018	03/21/2019	04/02/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Mark Miller	Baritz & Colman	NO	NO	G	x			Carl Shechter, Esq.	1	02/28/2019	Not	21
18-03613	San Juan, PR	10/17/2018	03/12/2019	03/27/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Alfonso Luis Boneta	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Louis David Huss	1	03/06/2019	PoS	6
18-03619	New York, NY	10/23/2018	03/22/2019	04/05/2019	RBC Capital Markets LLC; Wells Fargo Clearing Services LLC fka First Union Securities Incorporated	Dorsey & Whitney (RBCCM); ISC (WFCS)	Gerald Irwin Maisner	Kalberer LLP	NO	OB	G		x		Steven C. Kasarda	1		UD	
18-03626	Chicago, IL	10/25/2018	06/13/2019	06/26/2019	Wells Fargo Clearing Services LLC	ISC	Elias Solomon Friedman	Law Offices of Joshua B. Kons	NO	NO	G	x	x		Thomas Michael Genovese	1	05/24/2019	PoS	20
18-03638	Charlotte, NC	10/19/2018	06/04/2019	07/11/2019	Corecap Investments Incorporated; Financial West Group	ISC (CI); No-show (FWG)	Melody Ann Juge	FA Expungement LLC	NO	NO	G	x			Dwane Edward Vickstrom	1	04/09/2019	PoS	56
18-03643	New Orleans, LA	10/19/2018	07/15/2019	07/29/2019	Ameriprise Financial Services Incorporated	ISC	Charles Lee Simmons	FA Expungement LLC	NO	OB	G	x			Christine L. Stetson, Esq.	1	06/10/2019	CR	35
18-03657	Phoenix, AZ	10/22/2018	05/28/2019	06/28/2019	Invest Financial Corporation	ISC	Paul Douglas Axberg	FA Expungement LLC	NO	OB	G	x	x	x	Timothy J. Kroll, MS	1	03/26/2019	PoS	63
18-03665	Houston, TX	11/19/2018	04/29/2019	05/20/2019	Wunderlich Securities Incorporated	ISC	Lance Eric Roberts	AdvisorLaw LLC	NO	NO	G	x	x		Lynne M. Gomez, Esq.	1	03/15/2019	Not	45
18-03666	San Diego, CA	10/23/2018	06/07/2019	07/05/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ken Morris	Law Office of Patrick R. Mahoney	NO	NO	G	x	x		Kevin K. Forrester, Esq.	1	04/05/2019	Not	63

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																	Before First Hearing		
18-03682	Los Angeles, CA	10/23/2018	05/16/2019	05/31/2019	Securities America Incorporated	Freeman Mathis & Gary	Brian M. Levy	HLBS Law	NO	NO	G	x			1	03/29/2019	Not	48	
18-03703	New York, NY	10/25/2018	05/14/2019	06/04/2019	Invest Financial Corporation	ISC	Peter Dizdar	Imbesi Law PC	NO	NO	G	x	x		1	04/10/2019	PoS	34	
18-03708	Miami, FL	10/25/2018	05/22/2019	05/28/2019	Ameriprise Financial Services Incorporated	Murphy & Anderson	Riad Shanawany	HLBS Law	NO	NO	G	x			1	03/29/2019	PoS	54	
18-03709	Newark, NJ	10/25/2018	06/14/2019	06/24/2019	Wells Fargo Advisors LLC	ISC	Walter Rocco Kukowski	Sher Tremonte LLP	NO	NO	G		x		1		UD		
18-03725	Newark, NJ	10/26/2018	03/28/2019	05/08/2019	Cetera Advisor Networks LLC	ISC	Debra Helen Taylor	Bressler Amery & Ross	NO	OB	D				1	03/08/2019	Not	20	
18-03736	Los Angeles, CA	10/29/2018	03/19/2019	04/11/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ronald Louis Valpey	HLBS Law	NO	NN	G		x		1		CNF		
18-03738	San Diego, CA	10/29/2018	07/18/2019	07/30/2019	Sagepoint Financial Incorporated	No-show	Peter Ivan Michael Shusterman	HLBS Law	NO	NO	G	x	x		1	04/01/2019	Not	108	
18-03742	New York, NY	10/30/2018	01/18/2019	01/31/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Bradley L. Barber	None	NO	NO	G			x	1		UD		
18-03745	Seattle, WA	10/30/2018	03/11/2019	05/03/2019	Cambridge Investment Research Incorporated; Mony Securities Corporation	ISC	Paul K. Doak	The Dale Law Firm PC	NO	OB	G/D			x	1	02/12/2019	Not	27	
18-03767	Chicago, IL	10/31/2018	05/15/2019	06/05/2019	NYLIFE Securities LLC	Lubarsky Law Firm PLLC	Jason P. Spears	None	NO	NO, UN	D				1		UN		
18-03798	Newark, NJ	11/01/2018	04/30/2019	05/02/2019	UBS Financial Services Incorporated	Bressler Amery & Ross	John Lahoud	Crowe & Dunlevy	NO	NO	G		x		1		UD		
18-03828	St. Louis, MO	11/05/2018	03/19/2019	04/26/2019	Cetera Investment Services LLC	ISC	Eileen Rose Kanoski	Winget Spadafora & Schwartzberg	NO	NO	G	x	x		1	03/18/2019	PoS	1	
18-03864	Boca Raton, FL	11/07/2018	07/24/2019	07/31/2019	LPL Financial LLC	ISC	Julie Hermes Castillo	None	NO	OB	D				1	07/10/2019	PoS	14	
18-03909	Dallas, TX	11/12/2018	04/17/2019	05/17/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Jeff Malcolm Davis	AdvisorLaw LLC	NO	NO	G	x			1	03/08/2019	PoS	40	
18-03926	Newark, NJ	11/14/2018	04/30/2019	05/16/2019	Nationwide Planning Associates Incorporated	ISC	Keith Joseph Steidle	Stark & Stark	NO	NO	G	x	x		1		UD		
18-03928	Seattle, WA	11/14/2018	05/30/2019	07/19/2019	Pacific West Securities Incorporated	No-show	Jeffrey Scott Sims	Markun Zusman et al.	NO	UN	D				1		UN		
18-03932	New York, NY	11/14/2018	05/20/2019	05/23/2019	Citigroup Global Markets Incorporated	Bressler Amery & Ross	Prakash Chandru Shahani	Wolper Law Firm PA	NO	NO	G	x	x		1	05/09/2019	PoS	11	
18-03982	San Francisco, CA	11/20/2018	04/30/2019	05/28/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ting Xie O'Connor	HLBS Law	NO	OB	G		x		1	04/03/2019	Not	27	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2000.2100 Findings			Hrg. Sess.	Notice			
												Factually Impossible or Clearly Erroneous	False Claim	Not Involved		Arbitrator Names	Date	Detail	Days
																			Before First Hearing
18-03991	Boston, MA	11/20/2018	07/17/2019	07/30/2019	Citigroup Global Markets Incorporated; UBS Financial Services Incorporated; LPL Financial LLC	Bressler Amery & Ross (CGM); Riker Danzig et al. (UBSFS); ISC (LPLF)	Michael Anthony Abramo	Ghabai Law Group LLC	NO	OB	G	x	x		1	06/20/2019	PoS	27	
18-04016	Pittsburgh, PA	11/23/2018	05/03/2019	05/31/2019	HD Vest Investment Services Incorporated	ISC	Ivana G. Liberatore	Michael J. Betts LLC	NO	NO	G	x	x		1	04/25/2019	PoS	8	
18-04018	Boca Raton, FL	11/21/2018	05/02/2019	05/13/2019	Morgan Stanley	ISC	Alyssa Jeanette Rakovich	Jenks & Harvey	NO	NO	G	x	x		1	04/25/2019	PoS	7	
18-04027	Los Angeles, CA	11/27/2018	06/20/2019	06/28/2019	Sagepoint Financial Incorporated	ISC	Hatem Ben Dhiab	HLBS Law	NO	OB	D				1	05/01/2019	Not	50	
18-04038	Seattle, WA	11/27/2018	05/24/2019	07/23/2019	Cetera Advisors LLC; Pacific West Securities Incorporated	ISC (CA); No-show (PWS)	Erinn June Ford	Markun Zusman et al.	NO	NO	G			x	1	03/25/2019	Not	60	
18-04050	Las Vegas, NV	11/28/2018	05/02/2019	05/24/2019	Raymond James Financial Services Incorporated	ISC	Robert Z. Disman	AdvisorLaw LLC	NO	OB	D				1	03/28/2019	Not	35	
18-04052	St. Louis, MO	11/28/2018	04/18/2019	06/10/2019	UBS Financial Services Incorporated	ISC	Robert Calhoun Curtis	Riker Danzig et al.	NO	NO	G	x	x		1	04/05/2019	Not	13	
18-04078	Atlanta, GA	11/29/2018	05/15/2019	05/24/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Elizabeth Ann Sum-Slaughter	AdvisorLaw LLC	NO	UN	D				1		UN		
18-04105	Chicago, IL	11/30/2018	06/17/2019	07/05/2019	Chicago Investment Group LLC	No-show	Mary Jo Hayes	Kopecky Schumacher Rosenburg PC	NO	NO	G	x	x	x	1	05/28/2019	PoS	20	
18-04144	Chicago, IL	12/06/2018	06/11/2019	06/25/2019	MONY Securities Corporation	ISC	Richard Bruno Casolari	FA Expungement LLC	NO	NO, UN	D				1		UN		
18-04223	Houston, TX	12/10/2018	06/24/2019	07/23/2019	Wells Fargo Clearing Services LLC	ISC	William Joseph Molfetto	Locke Lord LLP	NO	NO	G		x		1	12/10/2018	PoS	196	
18-04240	Newark, NJ	12/14/2018	06/17/2019	07/03/2019	Paragon Capital Markets Incorporated; JW Barclay & Company Incorporated; First Montauk Securities Corporation	ISC	Gerald Richard Sharpe	FA Expungement LLC	NO	NO	G	x	x	x	1		UD		
18-04241	Minneapolis, MN	12/14/2018	06/21/2019	07/16/2019	Voya Financial Advisors Incorporated	Winget Spadafora & Schwartzberg	Michael Todd Hogan	Wolper Law Firm P.A.	NO	NO	G	x	x		1	06/10/2019	PoS	11	
18-04242	Portland, OR	12/14/2018	06/07/2019	07/08/2019	Edward Jones	ISC	Thomas A. Walker Jr.	Wolper Law Firm PA	NO	NO	G		x		1	05/24/2019	CR	14	
18-04260	Detroit, MI	12/17/2018	06/10/2019	06/21/2019	Wells Fargo Clearing Services LLC	ISC	Lee Walter Miller	Joseph H. Spiegel PLLC	NO	NO	G			x	1	06/02/2019	PoS	8	

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Was Expungement Granted or Denied	Rule 2007.130 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
18-04271	San Juan, PR	12/17/2018	04/23/2019	05/01/2019	UBS Financial Services Incorporated of Puerto Rico; UBS Financial Services Incorporated	McConnell Valdes LLC	Thomas Garity	Toro Colon Mullet PSC	NO	NO	G	x	x	x	Martin A. Feigenbaum, Esq.	1	04/18/2019	PoS	5
18-04283	New York, NY	12/18/2018	06/10/2019	07/11/2019	Equity Services Incorporated	Winget Spadafora & Schwartzberg	Mitchell George Rubin	AdvisorLaw LLC	NO	UN	G	x	x		Madelon M. Rosenfeld, Esq.	2		UD	
18-04299	New York, NY	12/19/2018	04/26/2019	06/12/2019	JP Morgan Securities LLC	ISC	Robert Ray Craig	Becker Glynn et al.	NO	NO	G	x	x		Robert E. Anderson, Esq. - Chair; Kimberly C. Lawrence; Bertrand Charles Sellier	1	02/13/2019	Not	72
18-04306	Boca Raton, FL	12/19/2018	06/24/2019	07/17/2019	Kestra Investment Services LLC; Securities America Incorporated	D'Amura & Zaidman (KIS); ISC (SA)	Richard Patrick Kiesel	Wiand Guerra King P.A.	NO	NO	G	x		x	Mark C. Perry, Esq. - Chair; Carl Shechter, Esq.; Steven M. Greenbaum, Esq.	1	06/14/2019	PoS	10
18-04320	Hartford, CT	12/20/2018	06/19/2019	06/28/2019	Ameriprise Financial Services Incorporated	ISC	Matthew Clark Couzens	AdvisorLaw LLC	NO	NO	G	x			Samuel Harrison Chorches, Esq.	1	01/30/2019	PoS	140
18-04324	Phoenix, AZ	12/20/2018	07/08/2019	07/16/2019	Wells Fargo Clearing Services LLC	ISC	Donald Edwin Burton, II	HLBS Law	NO	NO	G		x		W. Michael Kelley, Esq.	1	06/05/2019	Not	33
18-04326	Seattle, WA	12/20/2018	07/15/2019	07/22/2019	Morgan Stanley	ISC	Denise F. Leong	AdvisorLaw LLC	NO	UN	D				Joseph C. Roberts, Esq.	1		UN	
18-04332	Wichita, KS	12/20/2018	06/19/2019	07/25/2019	HD Vest Investment Services	ISC	Steven Ray Baumrucker	AdvisorLaw LLC	NO	OB	G		x	x	Joseph Neal Richardson	1	05/16/2019	Not	34
18-04333	Houston, TX	12/20/2018	07/02/2019	07/22/2019	RBC Capital Markets LLC	Dorsey & Whitney	Harvey Hamilton Hardee	AdvisorLaw LLC	NO	NO	G	x	x		Lynne M. Gomez, Esq.	1	05/29/2019	PoS	34
18-04334	Detroit, MI	01/04/2019	06/24/2019	07/18/2019	AG Edwards & Sons Incorporated	ISC	Adam David Schwallier	HLBS Law	NO	NO	G	x			Tracy L. Allen, Esq.	1	05/22/2019	PoS	33
18-04347	New York, NY	12/21/2018	06/20/2019	07/22/2019	Banc of America Investment Services Incorporated	Bressler Amery & Ross	Edward Thomas Stellingwerf	AdvisorLaw LLC	NO	NO	G	x			Richard A. Cini	1		UD	
18-04356	New York, NY	12/24/2018	06/19/2019	07/01/2019	Quick & Reilly Incorporated	Bressler Amery & Ross	Jeffrey Frank Damasco	AdvisorLaw LLC	NO	NO	G		x		Albert Rizzo	1	05/24/2019	PoS	26
18-04365	Los Angeles, CA	12/20/2018	07/24/2019	07/29/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Alexandra Kulmaticki	HLBS Law	NO	NO	D				Robert B. Hansohn	1	06/24/2019	Not	30
18-04370	Atlanta, GA	12/21/2018	07/09/2019	07/18/2019	Morgan Keegan & Company LLC	ISC	Malon Murray Wickham	AdvisorLaw LLC	NO	NO	G	x	x	x	Michael J. Ahlstrom, Esq.	1	05/15/2019	Not	55
18-04371	Atlanta, GA	12/21/2018	06/27/2019	07/24/2019	Securities America Incorporated	ISC	Rick Lee Kent	AdvisorLaw LLC	NO	NO	G	x			Harvey R. Linder, Esq.	1	05/28/2019	Not	30
18-04385	Houston, TX	12/20/2018	07/23/2019	07/29/2019	H Beck Incorporated	Cetera Financial Group	Steven Howard Orr	AdvisorLaw LLC	NO	OB	G		x		Lynne M. Gomez, Esq.	1	06/18/2019	Not	35
18-04388	Dallas, TX	12/28/2018	05/15/2019	07/16/2019	Raymond James Financial Services Incorporated	ISC	Bill Edward Carter	AdvisorLaw LLC	NO	NO	G		x		Frances Johnson-Wright, Esq.	2	04/03/2019	Not	42

Docket No.	Venue	Claim Filed	First Hearing Date	Award Issued	Names of Respdt.	Respondents' Attorneys	Claimant Brokers	Claimants' Attorneys	Did Rs. Object	Did Cmr. Object	Granted or Denied	Rule 2000/2100 Findings			Arbitrator Names	Hrg. Sess.	Notice		
												Factually Impossible or Erroneous	False Claim	Not Involved			Date	Detail	Days Before First Hearing
18-04410	Philadelphia, PA	12/26/2018	05/15/2019	05/28/2019	TFS Securities Incorporated	ISC	Theodore Joseph Durante	AdvisorLaw LLC	NO	NO	G	x			Guillermo L. Bosch, Esq.	1	03/29/2019	Not	47
18-04412	Seattle, WA	12/26/2018	06/17/2019	07/24/2019	Morgan Stanley	ISC	Kathleen M. Hobart	AdvisorLaw LLC	NO	OB	G	x	x		Paul R. Meyer, Esq.	1	05/15/2019	PoS	33
18-04413	Seattle, WA	12/26/2018	07/08/2019	07/24/2019	Raymond James & Associates Incorporated	ISC	Kathleen M. Hobart	AdvisorLaw LLC	NO	NO	G	x			William Michael Samsel	1	06/05/2019	Not	33
18-04414	New Orleans, LA	12/26/2018	07/02/2019	07/16/2019	AG Edwards & Sons Incorporated	ISC	Nita R. Pastor	AdvisorLaw LLC	NO	OB	G	x			Sherry R. Wetsch, Esq.	1	05/31/2019	Not	32
18-04428	New York, NY	12/26/2018	06/12/2019	06/24/2019	Customers only	Customer	Rocco Gerard Guidici Pietro	Holcomb & Ward	NO	NO	G	x	x		Keely D. Parr, Esq.	1		Rs	

**Abbreviations:**

*	No venue stated in Award
BD	Broker-Dealer
Bkr	Broker
Cmr	Customer
Cs	Claimant
Rs	Respondent
Hrg Sess	No. of Hearing Sessions
D	All expungement requests denied or withdrawn
G	All expungement requests granted
G/D	Expungement requests partially granted and partially denied

Customer and Respondent Objections

E	Respondent filed a motion to dismiss based on the six-year eligibility rule (Arbitration Rule 13206)
NN	Customers received no notice
NO	Award states that no one (either respondents or customers and their representatives) objected to expungement
OB	At least one person (either respondents or customers and their representatives) objected to expungement
UK	Unknown whether respondent objected to expungement
UN	Unstated whether customers received notice

Notice Details

BLH	Notice date was after the first hearing but before a later hearing
CNF	Notice not given because all customers could not be found
CR	Date customer responded (if different from first hearing date)
Dec	Notice not given because all customers were deceased
Not	Date notice was sent to the customer or sending of notice was reported to FINRA
NSR	Customer not required to be served
OAH	Arbitrator ordered notice to the customer on the day of or after the first hearing
OtS	Date notice to customer was ordered by the panel (or, where indicated by "stip," was stipulated by the parties)
PoS	Date proof of service was filed with FINRA (if different than first hearing date)
Rs	Customer was respondent
SD	Date of deadline to serve notice
UD	Notice to customer reported, but the date is not reported
UN	Unstated whether customers received notice

NOTES:

The "Names of Respondents" field only includes the names of respondent broker-dealers. Customers and individual brokers are not named, but are indicated by "et al." after the names of the broker-dealers. If no broker-dealer is named as a respondent, the field will read "Customers only."

The "Respondents' Attorneys" and Claimants' Attorneys" fields will only identify the names of the outside law firms representing broker-dealers or brokers. If a customer is named as a respondent, the field will simply note that fact. "ISC" means that a broker-dealer was represented by inside counsel. "No-show" means that a broker-dealer did not enter an appearance in the case. "None" means that a broker represented himself or herself. If there are two or more broker-dealers with different representation (e.g., different law firms, one or more represented by outside counsel and other(s) represented by ISC, or one or more entered an appearance and other(s) did not), the broker-dealers will be distinguished by initials in parentheses after their representation (e.g., "Bressler Amery & Ross (UBSFS); ISC (MSSB)").

In some cases, the Award states that the customers did not object, but does not state whether the customer was served or indicates that the customer was not served.

A negative number in the "Days Before First Hearing" field indicates the number of days after the first hearing.

In Docket No. 15-03455, after the hearing, the Panel ordered claimant to produce proof of service and the claimant then served notice on the customer.