# UPDATE TO THE 2013 EXPUNGEMENT STUDY OF THE PUBLIC INVESTORS ARBITRATION BAR ASSOCIATION[1]

In October, 2013, PIABA released its second study of expungements in the arbitration forum maintained by the Financial Industry Regulatory Authority, Inc. ("FINRA").[2] In its 2013 expungement study, PIABA reviewed expungement requests in FINRA securities arbitration proceedings filed between January 1, 2007, and December 31, 2011, by investors against securities broker/dealers and/or individual brokers. That study was based upon a search of the arbitration award database maintained by the Securities Arbitration Commentator ("SAC"). PIABA requested SAC to extract specific types of data from each award that contained the word "expungement". PIABA's analysis of the data supplied by SAC resulted in the following statistics: (1) for cases filed between January 1, 2007, and May 17, 2009, expungement relief was granted to stockbrokers following the settlement of the customers' claims in 89% of the cases in which expungement relief was sought; and (2) for cases filed between May 18, 2009, and December 31, 2011, expungement relief was granted to stockbrokers following the settlement of the customers' claims in 96.9% of the cases in which expungement relief was

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[1] The Public Investors Arbitration Bar Association ("PIABA") is an international, not-for-profit, voluntary bar association of lawyers who represent claimants in securities and commodities arbitration proceedings and securities litigation. The mission of PIABA is to promote the interests of the public investor in securities and commodities arbitration, by seeking to protect such investors from abuses in the arbitration process, by seeking to make securities arbitration as just and fair as systemically possible, and by educating investors concerning their rights.

[2] PIABA's first expungement study was released on September 24, 2007. That study was prepared by then-PIABA President, Steven B. Caruso ("Caruso"). The study addressed expungement awards entered in calendar year 2006 in cases in which customers and respondents either agreed to stipulated awards or settled a customer's claim and which were filed on or after April 12, 2004. April 12, 2004, was the effective date of NASD Conduct Rule 2130 (now FINRA Conduct Rule 2080), in which the NASD, for the first time, set forth in a rule standards for the granting of expungement relief to stockbrokers by arbitrators in NASD arbitration proceedings. *See* NASD Notice to Members ("NTM") 04-16, available at www.finra.org/industry/notices/04-16. The analysis of the 185 awards that were issued by a panel of arbitrators where expungements had been requested resulted in two shocking statistics: (1) expungements were granted in 98.4% of the cases; and (2) an evidentiary hearing was not held by the arbitration panel before expungements were granted in 71.4% of the cases.

sought.[3] In its 2013 expungement study, PIABA made certain recommendations to FINRA to attempt to address the alarming statistics arising from the analysis of the SAC data.

Following the release of PIABA's 2013 expungement study and the release of a scholarly article written by Seth E. Lipner ("Lipner") and published in the Fordham Journal of Corporate and Financial Law, entitled, "Expungement of Customer Complaint CRD Information Following Settlement of a FINRA Arbitration",[4] FINRA took certain actions. In late 2013, FINRA increased arbitrator guidance and training concerning requests for expungement relief by stockbrokers and the role that arbitrators play in deciding whether to grant such relief.[5] Then, in February 2014, FINRA proposed a rule change to prohibit member firms and associated persons from conditioning or seeking to condition settlement of a customer dispute on, or to otherwise compensate a customer for, the customer's agreement to consent to, or not to oppose, a member's or associated person's request to expunge such customer dispute information from the CRD system.[6]

To attempt to determine the effect of FINRA's actions and to see whether there has been any meaningful change in the rate of the granting of expungement relief to stockbrokers following the settlement of customer claims, PIABA has undertaken the analysis of awards mentioning the term "expungement" in cases filed between January 1, 2012, and December 31, 2014. PIABA again requested SAC to search its database for arbitration awards containing the

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[3] *See* "Expungement Study of the Public Investors Arbitration Bar Association" at pp. 19 and 21, available at www.piaba.org.

[4] 19 Fordham J. Corp. & Fin. L. 57 (2013).

[5] *See* The Neutral Corner, Vol. 4-2013, available at www.finra.org/arbitration-and-mediation/neutral-corner-volume-4-2013.

[6] `See SR-FINRA-2014-20, Proposed Rule Change to Adopt FINRA Rule 2081 (Prohibited Conditions Relating to Expungement of Customer Dispute Information), available at www.finra.org/industry/rule-filings/sr-finra-2014-20. Rule 2081 was approved by the SEC and went into effect on July 30, 2014. *See* http://finra.complinet.com/net_file_store/new_rulebooks/f/i/FINRANotice_14_31.pdf .

term “expungement” in investor disputes with securities industry members and to extract from each such award specific types of data as requested by PIABA.[7]

Unfortunately, the result of the analysis of the statistics regarding expungement relief sought in cases involving stipulated awards or settled customer claims remains alarming. The statistics indicate that FINRA's efforts have failed to assure that expungement relief is an extraordinary remedy granted only in cases in which the customer dispute information requested to be expunged has no meaningful investor protection or regulatory value. The analysis of the awards and award data provided to PIABA by SAC reveals the following with respect to requests for expungement relief in cases involving stipulated awards or settled customer claims: (1) for such cases filed in 2012, expungement relief was granted in 86.5% of the cases; (2) for such cases filed in 2013, expungement relief was granted in 89.8% of the cases; and (3) for such cases filed in 2014, expungement relief was granted in 91.7% of the cases.[8] Overall, for the settled cases filed between January 1, 2012, and December 31, 2014, in which expungement relief was sought, expungement was granted in 87.8% of such cases.

In this update, PIABA will report on its analysis of the award data provided by SAC and will make recommendations to FINRA and the Securities and Exchange Commission ("SEC") to attempt to fix the clearly broken expungement processes and system with respect to expungement relief sought by stockbrokers in customer cases following the entry of a stipulated award or the settlement of the customers' claims.[9]

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[7] As with PIABA's 2013 expungement study, the analysis, opinions, and conclusions expressed in this update to PIABA's 2013 study are those of PIABA only. SAC has not participated in the preparation of the text of this update. SAC's role with respect to this update has been limited to providing arbitration award data to PIABA for its review and analysis.

[8] The award data provided by SAC includes awards in cases filed between January 1, 2012, and December 31, 2014, in which awards were entered on or before May 31, 2015.

[9] In its 2013 study, PIABA provided background information concerning the development and history of the Central Registration Depository system and the regulatory background concerning expungements. Because those two topics were addressed at length in PIABA's 2013 expungement study, a discussion of those topics will not be

## ANALYSIS OF DATA CONCERNING EXPUNGEMENT REQUESTS AND ARBITRATORS' RULINGS ON THOSE REQUESTS FOR ARBITRATION PROCEEDINGS FILED BETWEEN JANUARY 1, 2012, AND DECEMBER 31, 2014

In preparing this update, PIABA reviewed data that it requested SAC to provide with respect to all arbitration awards mentioning "expungement", entered in cases filed between January 1, 2012, and December 31, 2014 (the "Review Period"). [10] PIABA requested that SAC identity each arbitration proceeding by docket number and caption in the order in which the cases were filed during the Review Period. For each case, PIABA requested that SAC also provide the following information:

(a) The venue of the proceeding;

(b) The date the claim was filed;

(c) The date the award was issued;

(d) Whether or not the broker was named as a party;

(e) Whether expungement was granted or denied;

(f) If expungement was granted, the Rule 2080 basis or bases on which expungement was granted;

(g) Which party prevailed in the cases that were tried; and

(h) Identification of cases concluded by stipulated awards or settlements.

For each case in which expungement requests were granted, PIABA requested data concerning the amount of compensatory damages claimed and the amount awarded.

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reiterated in this update. *See* Expungement Study of the Public Investors Arbitration Bar Association, pp. 2-16, available at www.piaba.org.

[10] SAC provided data concerning and access to only awards that mention the term "expungement". The awards examined do not include all awards in cases tried on the merits or all awards resulting from cases resolved by settlement.

SAC provided the requested data on the spreadsheets attached to this update. Each set of spreadsheets is accompanied by a report key to facilitate the interpretation of the data reported on the spreadsheets.

PIABA requested that FINRA provide the total number of customer-initiated cases filed against member firms and/or associated persons in each year. FINRA provided the following information for customer-initiated cases in each of the three years in the Review Period:

2012 – 2,584 cases filed

2013 – 2,374 cases filed

2014 – 2,663 cases filed.

PIABA's analysis of the awards in which expungement was requested in cases filed in 2012, 2013, and 2014 resulted in the statistics set forth in the charts below:[11]

**2012**

**Stipulated Awards/Settlements**

| Exp. Granted | Exp. Denied | Total Stipulated Awards/Awards Following Settlement | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 250 | 39 | 289 | 86.5 | 13.5 |

**Cases Tried on the Merits**

| Resp. Prevails Exp. Granted | Resp. Prevails Exp. Denied | Cl. Prevails Exp. Granted | Cl. Prevails Exp. Denied | Total Cases Resp. Prevails | Total Cases Cl. Prevails | Percentage of Cases Resp. Prevails Exp. Granted | Percentage of Cases Resp. Prevails Exp. Denied | Percentage of Cases Cl. Prevails Exp. Granted | Percentage of Cases Cl. Prevails Exp. Denied |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |
| 74 | 40 | 13 | 39 | 114 | 52 | 64.9 | 35.1 | 25.0 | 75.0 |

[11] The term "Respondent" in the charts is abbreviated "Resp."; the term "Claimant" in the charts is abbreviated "Cl."; the term "Expungement" in the charts is abbreviated "Exp."

## 2013

### Stipulated Awards/Settlements

| Exp. Granted | Exp. Denied | Total Stipulated Awards/Awards Following Settlement | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 132 | 15 | 147 | 89.8 | 10.2 |

### Cases Tried on the Merits

| Resp. Prevails Exp. Granted | Resp. Prevails Exp. Denied | Cl. Prevails Exp. Granted | Cl. Prevails Exp. Denied | Total Cases Resp. Prevails | Total Cases Cl. Prevails | Percentage of Cases Resp. Prevails Exp. Granted | Percentage of Cases Resp. Prevails Exp. Denied | Percentage of Cases Cl. Prevails Exp. Granted | Percentage of Cases Cl. Prevails Exp. Denied |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |
| 53 | 44 | 2 | 57 | 97 | 59 | 54.6 | 45.4 | 3.4 | 96.6 |

## 2014

### Stipulated Awards/Settlements

| Exp. Granted | Exp. Denied | Total Stipulated Awards/Awards Following Settlement | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 22 | 2 | 24 | 91.7 | 8.3 |

### Cases Tried on the Merits

| Resp. Prevails Exp. Granted | Resp. Prevails Exp. Denied | Cl. Prevails Exp. Granted | Cl. Prevails Exp. Denied | Total Cases Resp. Prevails | Total Cases Cl. Prevails | Percentage of Cases Resp. Prevails Exp. Granted | Percentage of Cases Resp. Prevails Exp. Denied | Percentage of Cases Cl. Prevails Exp. Granted | Percentage of Cases Cl. Prevails Exp. Denied |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |
| 15 | 12 | 2 | 12 | 27 | 14 | 55.6 | 44.4 | 14.3 | 85.7 |

**Summary of Expungements for the Time Period**

**January 1, 2012 - December 31, 2014**

**Stipulated Awards/Settlements**

| Exp. Granted | Exp. Denied | Total Stipulated Awards/Settlements | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 404 | 56 | 460 | 87.8 | 12.2 |

**Cases Tried on the Merits**

| Resp. Prevails Exp. Granted | Resp. Prevails Exp. Denied | Cl. Prevails Exp. Granted | Cl. Prevails Exp. Denied | Total Cases Resp. Prevails | Total Cases Cl. Prevails | Percentage of Cases Resp. Prevails Exp. Granted | Percentage of Cases Resp. Prevails Exp. Denied | Percentage of Cases Cl. Prevails Exp. Granted | Percentage of Cases Cl. Prevails Exp. Denied |
|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | | | |
| 142 | 96 | 17 | 108 | 238 | 125 | 59.7 | 40.3 | 13.6 | 86.4 |

[12]

For PIABA's 2013 expungement study, SAC also provided PIABA with data concerning arbitration awards entered in industry-initiated arbitration proceedings for the two time periods covered by the 2013 expungement study: January 1, 2007, through May 17, 2009, and May 18, 2009, through December 31, 2011. However, in its 2013 study, PIABA did not analyze or comment upon industry-initiated cases in which a stockbroker filed an arbitration proceeding for expungement relief against a customer whose claim was settled or against the broker/dealer with which he or she was affiliated when a customer claim was initiated and settled ("Broker Initiated

[12] PIABA's conclusions about the continued, alarmingly high rate of the granting of expungement relief to brokers following the entry of a stipulated award or the settlement of a customer's claim is buttressed by data reviewed and analyzed by Caruso for the years 2013 and 2014. For 2013 and 2014, Caruso searched the FINRA awards database for arbitration awards mentioning the term "expungement" following the entry of a stipulated award or the settlement of customers' claims. For calendar year 2013, there were a total of 353 arbitration awards mentioning the term "expungement" following the settlement of customer claims. Expungement relief was granted in 323 of such cases and was denied in 30 of such cases. Thus, expungement relief was granted in 91.5% of such cases. For 2014, there were 262 awards that mentioned the term "expungement" following the settlement of customer claims. Expungement relief was granted in 231 of those cases and was denied in 31 of those cases. Thus, expungement relief was granted in 88.2% of such cases.

Expungement Cases"). PIABA has now analyzed the awards entered in the Broker Initiated Expungement Cases. For this update, PIABA has also undertaken the same review and analysis with respect to Broker Initiated Expungement Cases filed between January 1, 2012, and December 31, 2014, against the customer whose claim was settled or the broker's broker/dealer.

PIABA has undertaken this analysis because PIABA members have reported what appears to be an increase in stockbrokers seeking expungement relief in separately initiated arbitration proceedings naming the customer or the broker's broker/dealer. The analysis of the awards mentioning the term "expungement" in broker-initiated arbitration proceedings in which expungement relief is sought by the broker with respect to customer claims previously settled reveals the following information:

**Expungement Relief Requested in Broker-Initiated Arbitration Proceedings Against Customers or Broker/dealers Following the Settlement of Customers' Separately Filed Arbitration Proceedings**

**January 1, 2007 - May 17, 2009**

| Exp. Granted | Exp. Denied | Total Cases | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 18 | 2 | 20 | 90.0 | 10.0 |

**May 18, 2009 - December 31, 2011**

| Exp. Granted | Exp. Denied | Total Cases | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 55 | 6 | 61 | 90.2 | 9.8 |

**2012**

| Exp. Granted | Exp. Denied | Total Cases | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 70 | 6 | 76 | 92.1 | 7.9 |

**2013 and 2014**

| Exp. Granted | Exp. Denied | Total Cases | Percentage of Cases Exp. Granted | Percentage of Cases Exp. Denied |
|---|---|---|---|---|
| | | | | |
| 125 | 13 | 138 | 90.6 | 9.4 |

The analysis of the data regarding Broker Initiated Expungement Cases clearly reflects a dramatic increase in the filing of such proceedings by brokers. PIABA believes that FINRA should prohibit brokers from filing such arbitration proceedings.

## ISSUES ARISING FROM THE EXPUNGEMENT OF CUSTOMER DISPUTE INFORMATION FOLLOWING THE SETTLEMENT OF CUSTOMER CLAIMS AND PROPOSALS TO ADDRESS THOSE ISSUES

Both the SEC and FINRA have repeatedly stated that expungement relief is an extraordinary remedy and should only be granted when the expunged information has no meaningful regulatory or investor protection value.[13] In 1999, NASD Regulation began grappling with how to deal with stipulated awards containing expungement relief.[14] Over the last sixteen years, NASD and then FINRA have taken a number of steps relating to broker requests for expungement relief. They have proposed to the SEC and obtained approval from the

[13] SEC Order Approving a Proposed Rule Change Amending the Codes of Arbitration Procedure to Establish Procedures for Arbitrators to Follow When Considering Requests for Expungement Relief, 73 Fed.Reg. 66086 (Oct. 30, 2008), [Release No. 34-58886; File No. SR-FINRA-2008-010] at p. 66089; FINRA Dispute Resolution Expungement Training Materials for Arbitrators at p. 8, available at www.finra.org/sites/default/file/FINRA-expungement-training-sept-2015.pdf; and FINRA Notice to Arbitrators and Parties on Expanded Expungement Guidance at p. 1, available at www.finra.org/arbitration-and-mediation/notice-arbitrators-and-parties-expanded-expungement-guidance.

[14] *See* NASD Regulation NTM 99-54 at p. 2, available at www.finra.org/industry/notices/99-54.

SEC of rules establishing procedures for arbitrators to follow in determining whether to grant expungement relief; establishing standards for the granting of expungement relief; and prohibiting member firms and registered representatives from bargaining for or conditioning settlement upon a customer's consent to or agreement not to oppose expungement relief.[15] FINRA has also instituted arbitrator training with respect to expungements and has repeatedly provided guidance to arbitrators with respect to expungement procedures and standards for granting expungement relief.[16] Despite the adoption of rules, the requirement for arbitrator training with respect to expungements, and the guidance provided by FINRA to arbitrators with respect to expungement procedures and standards for expungement relief, the statistics with respect to arbitrators granting expungement relief to brokers following the settlement of customer claims demonstrate that FINRA's expungement system simply does not work for such cases.[17]

Far from being an extraordinary remedy granted only when the expunged information has no meaningful investor protection or regulatory value, since 2007, expungement relief has been granted in the overwhelming majority of settled customer cases. In settled customer cases between January 1, 2007, and December 31, 2014, expungements were granted in 92% of cases in which expungement relief was sought. It defies credulity that the expunged information had no meaningful investor protection or regulatory value in 92% of the cases filed between

[15] *See* FINRA Rules 2080, 2081, 12805, and 13805.

[16] *See* FINRA Notice to Arbitrators and Parties on Expanded Expungement Guidance, available at www.finra.org/arbitration-and-mediation/notice-arbitrators-and-parties-expanded-expungement-guidance; The Neutral Corner, Vol. 3-2009, available at www.finra.org/sites/default/files/Publications/P119842.pdf; The Neutral Corner, Vol. 4-2013, available at www.finra.org/sites/default/files/Publications/p410646.pdf; The Neutral Corner, Vol. 3-2014, available at www.finra.org/sites/default/files/NeutralCorner_ Vol. 3_0.pdf; The Neutral Corner, Vol. 1-2015, available at www.finra.org/sites/default/files/Neutral_/Corner_Vol.1_2015.pdf.

[17] At the September, 2015, FINRA Board of Directors meeting, FINRA's Board approved seeking SEC approval of a proposed rule change to incorporate existing expungement guidance and best practices into rules. While PIABA believes such a rule is a step in the right direction, PIABA does not believe that the approval of such a rule will fix the currently non-functional FINRA expungement system with respect to settled customer claims.

January 1, 2007, and December 31, 2014, in which a customer's claims were settled and the brokers later sought expungement relief.

Customers are not regulators and often see no personal benefit to opposing a broker's attempt to be granted an expungement. Because customers agree to expungement relief, agree to not oppose expungement relief, or do not oppose expungement relief at expungement hearings conducted by arbitrators in the vast majority of cases settled by the customers, the arbitrators necessarily receive only a one-sided presentation concerning the requested expungement relief. FINRA's attempts to address this problem through the adoption of rules, arbitrator training, and guidance to arbitrators have failed.

FINRA has repeatedly stated that the accuracy and completeness of customer dispute information in the CRD system is critical to investor protection, is essential for regulators in connection with their regulatory activities, and is important to member firms with respect to hiring decisions.[18] Ensuring the accuracy and integrity of customer dispute information in the CRD system is a regulatory function. The obligations and burdens associated with safeguarding the accuracy and integrity of customer dispute information, just like the obligations and burdens associated with maintaining the CRD system, should be those of FINRA and state regulators. They should not fall on customers who have settled their claims or their attorneys who are not compensated for opposing expungement relief sought by brokers.

A wholesale change needs to occur with respect to the handling of broker requests for expungement relief in settled customer cases. PIABA believes that FINRA should take the following actions:

[18] *See* FINRA Regulatory Notice 14-31 at p. 2, available at www.finra.org/industry/notices/14-31; Proposed Rule Change to Adopt FINRA Rule 2081 (Prohibited Conditions Relating to Expungement of Customer Dispute Information) at p. 10, available at www.finra.org/sites/default/files/RuleFiling/p485128.pdf; and NASD NTM 04-16 at p. 212, available at www.finra.org/industry/notices/04-16.

1. FINRA should propose a rule change to make the hearing officers in its Office of Hearing Officers the impartial adjudicators of requests for expungement relief in settled customer cases. For all such proceedings, a FINRA enforcement attorney should be assigned to review and investigate a broker's request for expungement relief and to oppose the request, if appropriate. The standard for determining whether an expungement request is to be granted should be whether the information the broker seeks to expunge has no meaningful investor protection or regulatory value. Customers must be allowed to testify (by telephone if requested) and offer documentary evidence in opposition to expungement relief if they so desire, or to submit a statement or declaration with or without exhibits setting forth the customer's position with respect to the request for expungement relief.

2. FINRA should also seek approval from the SEC of amended procedures with respect to the handling of post-settlement expungement relief requests, including the following:

a. FINRA should provide prompt notice to state securities regulators of a broker request for expungement relief in a settled customer case to provide state regulators with the opportunity to oppose the requested expungement relief;

b. The costs of such proceedings should be borne by the broker seeking expungement relief through filing fees and hearing fees;

c. Either a rebuttable presumption should be established that the facts alleged in the customer's statement of claim are true or brokers should be required to meet a "clear and convincing evidence" burden of proof to obtain expungement relief; and

d. A time limit should be imposed on the ability of brokers to seek expungement relief with respect to customer dispute information in the CRD system, such as no longer than one year from the date of the resolution of the customer's claim.

3. FINRA should propose rule changes to amend Rules 2080, 12805, and 13805. Those proposed rule changes should change the grounds for FINRA waiving the obligation for it to be named as a party in any proceeding in court for expungement relief or seeking to obtain a court order confirming a ruling of a hearing officer as set forth in Rule 2080(b)(1)(A)-(C). Those standards should be replaced with a single standard: that the information sought to be expunged has no meaningful investor protection or regulatory value.

4. FINRA should prohibit brokers from seeking expungement relief with respect to any customer dispute information by initiating an arbitration proceeding against the customer whose case was settled or the broker/dealer with which the broker was affiliated when the customer claim was initiated and settled. [19]

PIABA believes arbitrators should continue to hear and determine broker expungement requests in cases tried on the merits. FINRA should continue its efforts to require arbitrator training and to provide guidance to arbitrators with respect to the review and determination of expungement requests by brokers following final, contested evidentiary hearings of customers' claims. That training and guidance should include education concerning the meaning and application of the new expungement standard: that the information sought to be expunged has no meaningful investor protection or regulatory value.

PIABA believes that FINRA's taking the foregoing actions would address and correct the clearly broken current system of review and determination of broker expungement requests in settled customer cases. Implementing the foregoing suggestions would better assure the accuracy and integrity of the customer dispute information in the CRD system and would address

[19] In his 2013 article (*see*, *supra*, fn 4 and accompanying text), Lipner made a number of recommendations that are the same as or are similar to many of PIABA's recommendations to fix FINRA's expungement system with respect to settled customer claims.

the interests of all parties affected by requests for expungement relief in settled customer cases: investors, regulators, member firms, and brokers.

# Report Key


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## Abbreviations:

* Required Information Not Provided by the Award

| | |
|---|---|
| BD | Broker-Dealer |
| Bkr | Broker |
| Cmr | Customer |
| Cs | Claimant |
| Rs | Respondent |
| D | All expungements denied or withdrawn |
| G | At least one expungement granted |
| N | Broker Not Named |
| PP | Submitted on papers (noted in the Venue field) |
| Y | Broker Named |

## NOTES:

All dollar figures are rounded to the nearest $100 and divided by $1000. In the "Comp. Dmgs. Claimed" field, "-1" means that non-monetary relief was claimed. In the "Total Amount Awarded" field, "-1" refers to an undisclosed settlement amount in a stipulated Award and the award of non-monetary relief or an unspecified amount of damages in other Awards.

In the "Broker Named" field, where either or both named and unnamed brokers requested expungement, we note that fact. Where both named and unnamed brokers requested expungements, and all named brokers were denied expungements but at least one unnamed broker was granted such relief, or all unnamed brokers were denied expungement but at least one named broker was granted such relief, we indicate the denial (D) next to the letter indicating the category of brokers (N or Y) who were so denied (e.g., "N Y-D"). Where only the broker-dealer requested expungement, we indicate that fact by "BD only;" in all of those cases, the broker-dealer was named.

In the "Who Wins/Stipulated" field, "Cs Win" means that the claimant recovered an award of damages or equitable relief, "Rs Win" means that he or she did not and "Stipulated" means that the Award was the result of a settlement.

"Who Paid" is limited to Awards containing customer claims (asserted either as a primary claim or as a counterclaim to an industry-initiated claim) and identifies whether one or more broker-dealers, one or more brokers or one or more customers are liable for damages. Amounts are included for broker-dealers or brokers who are liable for less than the total amount awarded. If a broker was liable, but received an expungement recommendation anyway, we add "(G)" after "Bkr;" otherwise, the liable parties either did not request expungement or were denied relief.

"Recovery Rate" is calculated by dividing the Total Amount Awarded by the Comp. Dmgs. Claimed. Where the rate is not calculable, the field is left blank.

## Expungement Requests in Customer-Initiated Arbitrations Filed 1/1/12-9/3

Sorted by: Docket #


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| | | | | | | | Rule 2080/2130 Findings | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Factually Impossible or Clearly Erroneous | False Claim | Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
| 11-04366 | Steinmann v. UBS Financial | Denver | 03/12/2012 | 07/26/2013 | N | G | x | | | Stipulated | 48 | -1 | | |
| 11-04733 | Yoo v. Lee | Los Angeles | 01/06/2012 | 06/16/2014 | Y | G | | x | | Rs Win | 120 | 0 | | 0% |
| 12-00058 | Westerland v. Bond | Wilmington | 01/03/2012 | 03/18/2013 | Y | G | | x | | Stipulated | 90 | -1 | | |
| 12-00064 | St. Clair v. Cambridge Investment | Atlanta | 01/03/2012 | 02/26/2013 | N | G | x | | | Stipulated | 200 | -1 | | |
| 12-00065 | Curtis v. Merrill Lynch | Orlando | 01/05/2012 | 10/10/2012 | N | G | | | x | Stipulated | 900 | -1 | | |
| 12-00085 | Ward v. PFS Investments | Miami | 01/06/2012 | 07/08/2013 | Y | D | | | | Rs Win | 819.6 | 0 | | 0% |
| 12-00117 | Farr v. Mueller | PP | 01/12/2012 | 03/21/2013 | Y | D | | | | Rs Win | 9.5 | 0 | | 0% |
| 12-00123 | Biss v. Crown Capital | Los Angeles | 01/07/2012 | 05/17/2013 | Y | G | | x | x | Stipulated | 0 | -1 | | |
| 12-00127 | Cherkin v. Lincoln Financial | Pittsburgh | 01/10/2012 | 11/25/2013 | Y | D | | | | Cs Win | 500 | 35 | BD, Bkr | 7% |
| 12-00130 | Pollice v. Root | Pittsburgh | 01/11/2012 | 08/14/2013 | Y | D | | | | Rs Win | 1109.3 | 0 | | 0% |
| 12-00141 | Rosen v. Wells Fargo | Tampa | 01/12/2012 | 07/25/2013 | N | G | x | x | | Stipulated | 0 | -1 | | |
| 12-00146 | Kaczmarek v. Doll | Los Angeles | 01/12/2012 | 11/14/2013 | Y | G | | x | | Stipulated | 725.8 | -1 | | |
| 12-00155 | Whitney v. UBS Financial | Houston | 01/12/2012 | 12/20/2013 | N | G | | | x | Stipulated | 0 | -1 | | |
| 12-00159 | Clarke v. Morgan Stanley | Jackson | 01/10/2012 | 05/23/2014 | Y | G | x | | x | Cs Win | 1000 | 150 | BD, Bkr | 15% |
| 12-00167 | Dai v. Brandt | San Francisco | 01/13/2012 | 03/04/2014 | Y | D | | | | Rs Win | 197500 | 0 | | 0% |
| 12-00177 | Caughern v. Williams | Oklahoma City | 01/16/2012 | 03/06/2013 | Y | G | x | | | Rs Win | 208.2 | 0 | | 0% |
| 12-00187 | Hansen v. UBS Financial | Boca Raton | 01/13/2012 | 06/14/2013 | N | G | x | x | | Stipulated | 98 | -1 | | |
| 12-00188 | Smith v. PFS Investments | Miami | 01/17/2012 | 12/02/2013 | Y | D | | | | Cs Win | 1976.2 | 585.9 | BD, Bkr | 30% |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-00208 | Kalinsky v. Morgan Stanley | New York | 01/18/2012 | 04/13/2015 | N | D | | | | Rs Win | 108.4 | 0 | | 0% |
| 12-00211 | Accardi v. Charles Schwab | Los Angeles | 01/22/2012 | 05/17/2013 | Y | G | | x | x | Stipulated | 50 | -1 | | |
| 12-00213 | Butler v. Wells Fargo | Tucson | 01/18/2012 | 02/20/2013 | N | G | | x | | Rs Win | 25.6 | 0 | | 0% |
| 12-00217 | Elam v. UBS Financial | Columbus | 01/19/2012 | 08/09/2013 | N | G | x | | | Stipulated | 0 | -1 | | |
| 12-00225 | Alvarez-Mauras v. Popular Securities | San Juan | 01/19/2012 | 04/01/2013 | N | D | | | | Rs Win | 595 | 0 | | 0% |
| 12-00242 | Hall v. Morgan Stanley | Philadelphia | 01/20/2012 | 05/13/2013 | Y | D | | | | Rs Win | 55 | 0 | | 0% |
| 12-00244 | Messing v. Morgan Stanley | Boca Raton | 01/20/2012 | 04/17/2013 | N | G | x | | | Stipulated | 75 | -1 | | |
| 12-00255 | Solomon v. Ridgeway & Conger | Detroit | 01/24/2012 | 03/06/2015 | Y | D | | | | Cs Win | 650 | 378 | BD, Bkr | 58% |
| 12-00257 | Vandendriessche v. Rockwell Global | Minneapolis | 01/20/2012 | 12/16/2013 | Y | D | | | | Rs Win | 225 | 0 | | 0% |
| 12-00268 | Cowan v. Black Diamond | Seattle | 02/15/2012 | 06/06/2014 | Y | G | x | x | x | Cs Win | 12000 | 100 | BD | 1% |
| 12-00274 | Lobato v. Edward D Jones | New York | 01/09/2012 | 02/20/2013 | Y | G | | x | | Rs Win | 41.9 | 0 | | 0% |
| 12-00278 | Brody v. Janney Montgomery | Boca Raton | 01/23/2012 | 04/25/2013 | N | G | x | x | | Stipulated | 900 | -1 | | |
| 12-00280 | Aizpuru v. Merrill Lynch | Tampa | 01/25/2012 | 05/30/2013 | N | G | x | | x | Stipulated | 1600 | -1 | | |
| 12-00284 | Bennett v. Reed Shoemaker | San Francisco | 01/24/2012 | 04/02/2014 | Y | G | | x | | Stipulated | 2000 | -1 | | |
| 12-00289 | Kaylor v. Bible | PP | 01/24/2012 | 02/06/2013 | Y | G | x | x | | Rs Win | 12.5 | 0 | | 0% |
| 12-00291 | Apt v. Citigroup Global | New York | 01/27/2012 | 12/19/2013 | N | G | x | | x | Stipulated | 0 | -1 | | |
| 12-00316 | Smith v. UBS Financial | Cleveland | 01/30/2012 | 06/05/2013 | N | G | | | x | Stipulated | 300 | -1 | | |
| 12-00331 | Johnson v. Capital Investment | Raleigh | 01/27/2012 | 11/12/2013 | Y | D | | | | Stipulated | 866.3 | -1 | | |
| 12-00340 | Constantino v. Ferris Baker | Cleveland | 02/01/2012 | 06/18/2013 | Y | D | | | | Cs Win | 42.2 | 15 | BD, Bkr | 36% |
| 12-00346 | LaMontague v. Morgan Stanley | Jacksonville | 01/31/2012 | 02/13/2013 | N | G | x | x | x | Rs Win | 222 | 0 | Cmr | 0% |
| 12-00351 | Crader v. Absolute Return | Seattle | 01/31/2012 | 04/23/2013 | Y | G | | | x | Stipulated | 15000 | -1 | | |
| 12-00361 | DeShazior v. Cook | Miami | 02/01/2012 | 06/04/2013 | Y | D | | | | Cs Win | 733.1 | 187.5 | BD | 26% |

| | | | | | | | Rule 2080/2130 Findings | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Factually Impossible or Clearly Erroneous | False Claim | Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
| 12-00369 | Hubbard v. Merrill Lynch | Boca Raton | 02/02/2012 | 12/12/2014 | N | G | | x | | Rs Win | 1339.8 | 0 | | 0% |
| 12-00383 | Murphy v. Decker | Boise | 01/27/2012 | 05/31/2013 | Y | G | x | x | | Stipulated | 167.7 | -1 | | |
| 12-00384 | Paperny v. Johnson | Los Angeles | 01/27/2012 | 11/20/2012 | Y | G | | x | x | Stipulated | 100 | -1 | | |
| 12-00388 | Chancellor v. Edward D Jones | Dallas | 02/03/2012 | 10/15/2013 | Y | G | x | | | Stipulated | 0 | -1 | | |
| 12-00392 | Chu v. Merrill Lynch | Newark | 02/06/2012 | 05/29/2013 | N | G | x | x | | Stipulated | 500 | -1 | | |
| 12-00398 | Dash v. Morgan Stanley | Boca Raton | 01/31/2012 | 06/27/2013 | N | G | x | x | | Stipulated | 350 | -1 | | |
| 12-00443 | Hulse v. UBS Financial | St. Louis | 02/07/2012 | 04/23/2014 | N | G | x | x | | Stipulated | 530 | -1 | | |
| 12-00462 | Wood v. Wachovia Securities | Columbia | 02/03/2012 | 04/22/2013 | Y | G | | x | | Stipulated | 1000 | -1 | | |
| 12-00470 | Chandler v. Tomas | Detroit | 02/03/2012 | 10/04/2013 | Y | D | | | | Stipulated | 500 | -1 | | |
| 12-00495 | Trammell v. Wells Fargo | Orlando | 02/06/2012 | 05/15/2013 | N | D | | | | Stipulated | 25.5 | -1 | | |
| 12-00507 | Johannsen v. Morgan Stanley | San Francisco | 02/10/2012 | 01/14/2013 | N | D | | | | Cs Win | 0 | 299.2 | BD | |
| 12-00508 | Sumasar v. TD Ameritrade | New York | 02/08/2012 | 07/24/2014 | N | G | | | x | Stipulated | 550 | -1 | | |
| 12-00528 | Kress v. Orlando | New York | 02/08/2012 | 04/25/2013 | Y | G | | x | | Rs Win | 126 | 0 | | 0% |
| 12-00535 | Whitaker v. Edward Jones | Charlotte | 02/14/2012 | 01/06/2014 | N | D | | | | Cs Win | 400 | 200 | BD | 50% |
| 12-00557 | Wisener v. Lord | Los Angeles | 02/15/2012 | 09/26/2014 | Y | G | | x | | Rs Win | 600 | 0 | Cmr | 0% |
| 12-00559 | Boyd v. Wells Fargo | Dallas | 02/14/2012 | 02/12/2013 | Y | G | | | x | Stipulated | 62.5 | -1 | | |
| 12-00566 | Peyser v. Hurry | Miami | 02/21/2012 | 03/08/2012 | Y | G | x | x | x | Stipulated | 600 | -1 | | |
| 12-00569 | Fisher v. Edward D Jones | Boca Raton | 02/16/2012 | 02/06/2013 | N | G | x | | | Stipulated | 175 | -1 | | |
| 12-00575 | Martello v. UBS Financial | Jacksonville | 02/16/2012 | 12/19/2012 | N | G | | | x | Stipulated | 166.7 | -1 | | |
| 12-00577 | Einstein v. Bel Air | Los Angeles | 02/17/2012 | 08/30/2013 | N | G | x | | x | Stipulated | 340 | -1 | | |
| 12-00578 | Stewart v. SII Investments | Los Angeles | 02/20/2012 | 10/09/2013 | Y | G | | | x | Stipulated | 275.4 | -1 | | |
| 12-00595 | Regal Marine Industries v. SunTrust Investment | Orlando | 02/15/2012 | 12/20/2013 | N | G | | | x | Stipulated | 4000 | -1 | | |
| 12-00602 | Gitt v. Elbinger | Phoenix | 02/14/2012 | 08/29/2013 | Y | G | | x | x | Stipulated | 0 | -1 | | |
| 12-00604 | Leon v. Grubb | San Francisco | 02/17/2012 | 12/21/2012 | Y | G | | | x | Stipulated | 87.2 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-00608 | Kuri Con v. Estefano | Boca Raton | 02/17/2012 | 10/15/2013 | Y | G | x | | | Rs Win | 1519.2 | 0 | | 0% |
| 12-00628 | Jefferson v. LPL Financial | Boston | 02/22/2012 | 01/24/2013 | Y | G | x | | | Stipulated | 0 | -1 | | |
| 12-00643 | Beyerle v. Fintegra LLC | Boca Raton | 02/21/2012 | 05/29/2013 | Y | G | | x | | Stipulated | 500 | -1 | | |
| 12-00680 | Santacroce v. Wells Fargo | Hartford | 02/15/2012 | 08/21/2013 | N | G | | x | | Stipulated | 100 | -1 | | |
| 12-00692 | Elmameh v. Lightspeed Trading | New York | 02/22/2012 | 09/25/2013 | Y | G | x | | x | Rs Win | 107.2 | 0 | | 0% |
| 12-00694 | Harris v. Morgan Stanley | PP | 02/23/2012 | 06/20/2013 | BD only | D | | | | Cs Win | 48.3 | 48.3 | BD | 100% |
| 12-00699 | Hope Trust v. UBS Financial | Newark | 02/21/2012 | 06/11/2014 | N | G | | x | | Stipulated | 175 | -1 | | |
| 12-00704 | DeBritto v. Commonwealth Financial | Fort Lauderdale | 02/24/2012 | 02/25/2013 | BD only | D | | | | Rs Win | 100 | 0 | | 0% |
| 12-00711 | Murray v. Sing Yee | Phoenix | 02/23/2012 | 05/28/2013 | Y | D | | | | Cs Win | 188.1 | 100 | Bkr | 53% |
| 12-00725 | Avila Jimenez v. Popular Securities | San Juan | 02/23/2012 | 09/06/2013 | Y | D | | | | Rs Win | 300 | 0 | | 0% |
| 12-00729 | Kochendorfer v. Boc | Seattle | 02/21/2012 | 04/09/2013 | Y | D | | | | Stipulated | 632 | -1 | | |
| 12-00733 | Averett v. Wellington Shields | New York | 02/24/2012 | 05/06/2014 | Y | D | | | | Cs Win | 159 | 130 | BD, Bkr | 82% |
| 12-00738 | Makris v. Morgan Stanley | Newark | 02/22/2012 | 03/12/2013 | N | G | x | x | | Stipulated | 100 | -1 | | |
| 12-00746 | Carson v. Edward D Jones | Oklahoma City | 02/24/2012 | 12/19/2012 | N | G | x | | | Stipulated | 250 | -1 | | |
| 12-00756 | Bernheim Trust v. UBS FInancial | Los Angeles | 02/27/2012 | 12/11/2014 | N | G | x | | | Stipulated | 85 | -1 | | |
| 12-00768 | D'Elia v. Ameriprise Financial | PP | 02/27/2012 | 01/18/2013 | N | D | | | | Rs Win | 4.9 | 0 | | 0% |
| 12-00772 | Knypstra v. Ameriprise Financial | Los Angeles | 03/01/2012 | 03/04/2014 | Y | D | | | | Rs Win | 100 | 0 | | 0% |
| 12-00801 | Whitelock v. Citigroup Global | New York | 02/23/2012 | 04/29/2014 | Y | D | | | | Stipulated | 250 | -1 | | |
| 12-00803 | Kanter v. Goslin | Tampa | 03/02/2012 | 04/15/2013 | Y | D | | | | Rs Win | 4416.6 | 0 | | 0% |
| 12-00807 | Guenther v. Crown Capital | San Diego | 03/02/2012 | 08/01/2013 | N | G | | | x | Stipulated | 100 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-00809 | Silver v. Merrill Lynch | Las Vegas | 03/01/2012 | 05/28/2013 | N | G | | | x | Stipulated | 800 | -1 | | |
| 12-00813 | Moye v. UBS Financial | New York | 03/05/2012 | 07/21/2014 | N | D | | | | Stipulated | 175 | -1 | | |
| 12-00823 | Bolding v. Morgan Keegan | Tampa | 03/02/2012 | 02/19/2013 | N | G | | | x | Stipulated | 900 | -1 | | |
| 12-00835 | Magida v. Citigroup Global | New York | 03/02/2012 | 05/10/2013 | N | G | | x | | Stipulated | 57 | -1 | | |
| 12-00841 | Padgett v. Ameriprise Financial | Tampa | 03/07/2012 | 07/03/2013 | Y | G | | | x | Rs Win | 285 | 0 | | 0% |
| 12-00844 | London v. Morgan Stanley | Miami | 03/06/2012 | 08/05/2013 | N | G | x | x | | Stipulated | 990 | -1 | | |
| 12-00856 | Harbison v. Laframboise | San Diego | 03/06/2012 | 07/08/2013 | Y | D | | | | Stipulated | 600 | -1 | | |
| 12-00859 | Manzo v. UBS Financial | Houston | 03/01/2012 | 01/17/2013 | N | G | x | | x | Stipulated | 1000 | -1 | | |
| 12-00870 | Murray v. Guarino | Boca Raton | 03/08/2012 | 02/02/2015 | Y | G | | x | x | Rs Win | 0 | 0 | | 0% |
| 12-00893 | Pope v. Carlsen | San Francisco | 03/06/2012 | 06/13/2013 | Y | G | | x | | Stipulated | 73 | -1 | | |
| 12-00899 | Selvig v. Fidelity Brokerage | Chicago | 03/06/2012 | 06/06/2013 | N | G | x | | | Rs Win | 180 | 0 | | 0% |
| 12-00904 | Shapiro v. Investments By Planners | Boca Raton | 03/08/2012 | 01/06/2014 | N | G | x | x | x | Stipulated | 100 | -1 | | |
| 12-00906 | Buchanan v. PFS Investments | Miami | 03/19/2012 | 11/14/2013 | Y | D | | | | Rs Win | 6700 | 0 | | 0% |
| 12-00914 | Hoffman v. Basis Financial | Los Angeles | 03/09/2012 | 04/01/2013 | Y | D | | | | Rs Win | 375.8 | 0 | | 0% |
| 12-00929 | Frei v. Commonwealth Financial | Orlando | 03/09/2012 | 01/17/2014 | Y | G | x | | | Stipulated | 373.3 | -1 | | |
| 12-00934 | Beaton v. Mission Wealth | Los Angeles | 03/12/2012 | 08/02/2013 | Y | G | | | x | Rs Win | 4011.8 | 0 | | 0% |
| 12-00935 | Merlin v. Briggs | Phoenix | 03/12/2012 | 06/24/2013 | Y | G | | | x | Stipulated | 1510.8 | -1 | | |
| 12-00938 | Guha v. Fidelity Brokerage | San Francisco | 03/06/2012 | 08/09/2013 | Y | G | | x | | Rs Win | 2000 | 0 | | 0% |
| 12-00949 | Allard v. Commonwealth Financial | Fort Lauderdale | 03/13/2012 | 02/20/2013 | BD only | D | | | | Rs Win | 1000 | 0 | | 0% |
| 12-00951 | Shishko v. Citigroup Global | Los Angeles | 03/13/2012 | 01/06/2014 | Y | G | | x | | Stipulated | 500 | -1 | | |
| 12-00976 | Tilghman v. Merrill Lynch | Los Angeles | 03/12/2012 | 03/28/2013 | N | G | x | | | Stipulated | 50 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-00996 | Gillman v. Wachovia Securities | Boca Raton | 03/14/2012 | 02/06/2013 | Y | G | | x | | Cs Win | 48.4 | 48.4 | BD | 100% |
| 12-00997 | Ryan v. Citigroup Global | Tampa | 03/13/2012 | 05/06/2013 | N | G | x | | | Rs Win | 500 | 0 | | 0% |
| 12-01031 | Turner v. Brookville Capital | Philadelphia | 03/16/2012 | 12/04/2013 | Y | G | x | | | Stipulated | 95 | -1 | | |
| 12-01040 | Garagusi v. UBS Financial | Baltimore | 03/16/2012 | 10/10/2013 | N | G | x | x | | Stipulated | 250 | -1 | | |
| 12-01045 | Dake Investments v. Insphere Securities | Phoenix | 03/16/2012 | 06/19/2013 | Y | G | | | x | Stipulated | 200 | -1 | | |
| 12-01051 | White v. Cambridge Investment | Cleveland | 03/16/2012 | 03/15/2013 | Y | G | | | x | Cs Win | 261.3 | 90.8 | Bkr | 35% |
| 12-01057 | Snyder v. Samuel A. Ramirez | Albany | 03/20/2012 | 04/30/2013 | Y | G | | x | | Stipulated | 500 | -1 | | |
| 12-01058 | Klein v. Charles Schwab | New York | 03/21/2012 | 03/21/2013 | Y | G | x | | | Rs Win | 125 | 0 | | 0% |
| 12-01060 | Hershkoff v. AXA Advisors | Boca Raton | 03/21/2012 | 04/17/2013 | BD only | D | | | | Rs Win | 190 | 0 | | 0% |
| 12-01065 | Kroell v. Edward D Jones | San Diego | 03/15/2012 | 02/26/2013 | Y | G | x | x | | Rs Win | 154 | 0 | | 0% |
| 12-01075 | Hunt v. Dougherty & Company | Seattle | 03/21/2012 | 05/14/2013 | N | G | | x | | Stipulated | 500 | -1 | | |
| 12-01089 | Galowitz v. Ameriprise Financial | Tampa | 03/16/2012 | 06/06/2013 | N | D | | | | Rs Win | 175 | 0 | | 0% |
| 12-01135 | Turner v. Edward D Jones | Charlotte | 03/26/2012 | 12/10/2012 | N | D | | | | Cs Win | 22.1 | 13.2 | BD | 60% |
| 12-01158 | Kaiser v. Berger | New York | 03/22/2012 | 02/06/2013 | Y | G | | x | | Rs Win | 2850 | 0 | | 0% |
| 12-01167 | Asad v. Abas | Los Angeles | 03/27/2012 | 05/14/2013 | Y | D | | | | Cs Win | 648.7 | 448.2 | BD, Bkr | 69% |
| 12-01181 | Brown v. Sagepoint Financial | San Diego | 03/27/2012 | 04/03/2013 | Y | G | x | | | Stipulated | 162 | -1 | | |
| 12-01183 | Hurley v. Avallone | Newark | 03/19/2012 | 11/27/2013 | Y | D | | | | Rs Win | 70 | 0 | | 0% |
| 12-01186 | Sherdal v. Kubica | New York | 03/30/2012 | 05/08/2013 | Y | G | | x | | Stipulated | 250 | -1 | | |
| 12-01194 | Flanzraich v. Merrill Lynch | Boca Raton | 03/29/2012 | 07/29/2014 | Y | G | x | x | | Stipulated | 6000 | -1 | | |
| 12-01195 | Janoff v. Loder | Portland | 03/27/2012 | 11/21/2014 | Y | G | x | x | | Stipulated | 70.6 | -1 | | |
| 12-01209 | Kinbar v. Merrill Lynch | Newark | 03/29/2012 | 09/05/2014 | N | G | x | | | Stipulated | 300 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-01217 | Ramey v. Morgan Stanley | Los Angeles | 03/29/2012 | 04/08/2014 | N | G | x | x | | Stipulated | 300 | -1 | | |
| 12-01219 | Swanson v. Edward D Jones | Minneapolis | 03/29/2012 | 06/03/2013 | N | G | x | | | Rs Win | 200 | 0 | | 0% |
| 12-01222 | Perez Rodriguez v. UBS Financial | San Juan | 04/03/2012 | 10/03/2014 | N | G | | | x | Stipulated | 0 | -1 | | |
| 12-01223 | Lopez Rivera v. UBS Financial | San Juan | 04/03/2012 | 02/03/2014 | N | G | x | | x | Stipulated | 0 | -1 | | |
| 12-01238 | Larson v. Financial Advisers | Minneapolis | 03/27/2012 | 12/26/2012 | Y | D | | | | Rs Win | 134.9 | 0 | | 0% |
| 12-01243 | Eglar v. Fidelity Brokerage | Chicago | 03/29/2012 | 06/04/2014 | N | G | x | x | x | Stipulated | 190 | -1 | | |
| 12-01256 | Amergian v. Ameriprise Financial | Augusta | 03/29/2012 | 01/13/2014 | N | D | | | | Stipulated | 0 | -1 | | |
| 12-01300 | Henley v. Casey | Phoenix | 04/03/2012 | 07/25/2013 | Y | G | x | | | Stipulated | 105 | -1 | | |
| 12-01302 | Dickinson v. Theis | Minneapolis | 04/05/2012 | 07/25/2014 | Y | G | x | x | x | Stipulated | 931 | -1 | | |
| 12-01306 | LNR Investments v. Oppenheimer & Company | Dallas | 04/13/2012 | 07/25/2013 | N | G | | x | | Cs Win | 2800 | 75 | BD | 3% |
| 12-01316 | Ferrer v. Popular Securities | San Juan | 04/07/2012 | 09/06/2013 | N | G | x | x | | Rs Win | 632.4 | 0 | Cmr | 0% |
| 12-01317 | Gloede v. Ameriprise Financial | Baltimore | 04/09/2012 | 01/07/2014 | N Y | G | x | x | x | Stipulated | 170.4 | -1 | | |
| 12-01330 | Boyatt v. Investors Capital | Orlando | 04/11/2012 | 07/01/2014 | Y | G | | | x | Stipulated | 1433.5 | -1 | | |
| 12-01349 | Coons v. Lokmanyan | Los Angeles | 04/05/2012 | 04/23/2013 | Y | G | x | x | x | Rs Win | 0 | 0 | | |
| 12-01353 | Broadus Oil v. IFC Holdings | Chicago | 04/10/2012 | 12/13/2013 | Y | G | x | | x | Stipulated | 1530 | -1 | | |
| 12-01357 | Weigand v. Citigroup Global | Boca Raton | 04/13/2012 | 11/06/2013 | Y | D | | | | Stipulated | 879.7 | -1 | | |
| 12-01360 | Greene v. Edward D Jones | Tampa | 04/10/2012 | 02/06/2014 | N | G | x | x | | Stipulated | 100 | -1 | | |
| 12-01361 | Goldstein v. UBS Financial | Baltimore | 04/13/2012 | 01/02/2014 | N | G | x | x | | Stipulated | 1000 | -1 | | |
| 12-01390 | Rodriguez Adorno v. UBS Financial | San Juan | 04/17/2012 | 09/05/2013 | Y | G | x | x | | Stipulated | 496 | -1 | | |
| 12-01398 | Di Palma v. Ameriprise Financial | Newark | 04/10/2012 | 11/13/2013 | N | D | | | | Stipulated | 120 | -1 | | |
| 12-01403 | Kelly v. Ameriprise Financial | Boston | 04/16/2012 | 01/28/2014 | N Y | G | x | | x | Stipulated | 347 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-01404 | Gardner-Howder v. RBC Capital | Boca Raton | 04/12/2012 | 11/15/2013 | N | G | x | x | | Stipulated | 500 | -1 | | |
| 12-01405 | Flowers v. Citicorp Investment | San Francisco | 04/13/2012 | 09/15/2015 | Y | G | | | x | Rs Win | 0 | 0 | | |
| 12-01422 | Friedman v. Morgan Stanley | Boca Raton | 04/19/2012 | 06/17/2013 | N | G | x | | | Stipulated | 0 | -1 | | |
| 12-01423 | Gache v. Levitt Capital | Boca Raton | 04/17/2012 | 06/27/2013 | N | D | | | | Rs Win | 842.3 | 0 | | 0% |
| 12-01425 | Smith v. Wells Fargo | Miami | 04/18/2012 | 10/07/2013 | N | G | x | x | | Stipulated | 0 | -1 | | |
| 12-01460 | McCumber v. Merrill Lynch | Atlanta | 04/16/2012 | 05/02/2013 | N | G | x | x | | Stipulated | 0 | -1 | | |
| 12-01470 | Saunders v. Wells Fargo | Houston | 04/23/2012 | 06/21/2013 | Y | G | | | x | Cs Win | 290.5 | 75 | BD, Bkr | 26% |
| 12-01485 | Withers v. UBS Financial | Houston | 05/22/2012 | 12/18/2013 | N | G | | x | | Stipulated | 1500 | -1 | | |
| 12-01497 | Strouse v. Wells Fargo | Fort Lauderdale | 04/20/2012 | 09/08/2015 | N | G | | x | | Stipulated | 100 | -1 | | |
| 12-01499 | Dryden v. Merrill Lynch | Birmingham | 04/24/2012 | 04/29/2013 | N | G | x | x | | Stipulated | 225 | -1 | | |
| 12-01509 | Marchi v. Morgan Stanley | San Francisco | 04/19/2012 | 02/21/2014 | N | G | x | x | x | Stipulated | 500 | -1 | | |
| 12-01511 | Meyers v. Citigroup Global | New York | 04/26/2012 | 05/14/2013 | N | G | | x | | Stipulated | 230 | -1 | | |
| 12-01521 | Drazick v. Wells Fargo | Boca Raton | 04/25/2012 | 12/18/2013 | N | G | | | x | Stipulated | 100 | -1 | | |
| 12-01525 | Bollinger v. Tinsley | Raleigh | 04/23/2012 | 06/14/2013 | Y | D | | | | Stipulated | 100 | -1 | | |
| 12-01528 | Barbeau v. UBS Financial | Milwaukee | 04/24/2012 | 09/23/2013 | N | G | x | x | | Stipulated | 700 | -1 | | |
| 12-01531 | Kauff v. Stifel Nicolaus | Philadelphia | 04/25/2012 | 09/26/2013 | N | G | x | x | | Stipulated | 700 | -1 | | |
| 12-01533 | Clark v. Davis | PP | 04/27/2012 | 01/11/2013 | Y | G | | x | | Rs Win | 21.1 | 0 | | 0% |
| 12-01533a | Clark v. Davis | PP | 04/27/2012 | 01/11/2013 | Y | G | | x | | Rs Win | 21.1 | 0 | | 0% |
| 12-01538 | Rosenzweig v. UBS Financial | Fort Lauderdale | 04/27/2012 | 01/17/2014 | N | G | | | x | Stipulated | 200 | -1 | | |
| 12-01569 | Neul v. Securities America | Chicago | 04/24/2012 | 01/27/2014 | N | G | | | x | Stipulated | 277.5 | -1 | | |
| 12-01570 | Mack v. HFP Capital | Des Moines | 04/25/2012 | 03/20/2013 | Y | G | x | x | | Stipulated | 42.8 | -1 | | |
| 12-01571 | Wasielewski v. EZ Stock | Milwaukee | 04/24/2012 | 10/11/2013 | Y | G | x | x | | Stipulated | 500 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-01581 | Hile v. UBS Financial | Fort Lauderdale | 04/25/2012 | 02/26/2014 | N | G | x | x | x | Stipulated | 2100 | -1 | | |
| 12-01582 | Rojas v. Caldera | Miami | 04/26/2012 | 07/02/2013 | Y | G | | x | | Stipulated | 1000 | -1 | | |
| 12-01608 | Harwich East v. Cassone | Boston | 05/02/2012 | 06/04/2013 | Y | D | | | | Cs Win | 5800 | 5088.4 | BD, Bkr | 88% |
| 12-01626 | Moening v. UBS Financial | Minneapolis | 05/04/2012 | 02/12/2014 | N | G | | | | Stipulated | 405 | -1 | | |
| 12-01627 | Sowles v. Morgan Stanley | Newark | 05/03/2012 | 01/23/2014 | Y | G | | x | | Rs Win | 0 | 0 | | |
| 12-01645 | Lowe v. Wells Fargo | Columbia | 05/04/2012 | 07/29/2013 | N | G | x | x | x | Stipulated | 500 | -1 | | |
| 12-01666 | Georgiade v. Ameriprise Financial | New York | 05/03/2012 | 11/22/2013 | N | G | | x | | Rs Win | 35.1 | 0 | | 0% |
| 12-01674 | O'Hare v. Crown Capital | San Diego | 05/07/2012 | 12/30/2013 | Y | G | | x | | Stipulated | 469.1 | -1 | | |
| 12-01678 | Alexander v. Morgan Stanley | Charlotte | 05/04/2012 | 04/12/2013 | N | G | x | x | | Stipulated | 87.5 | -1 | | |
| 12-01685 | Winterman v. Excel Securities | Rochester | 05/08/2012 | 10/02/2014 | Y | G | | | x | Stipulated | 0 | -1 | | |
| 12-01700 | Fogle v. Edward D Jones | PP | 05/10/2012 | 01/16/2013 | Y | G | | x | | Rs Win | 5 | 0 | | 0% |
| 12-01701 | Cheringal v. UBS Financial | Newark | 05/10/2012 | 05/22/2013 | N | G | x | x | | Rs Win | 3700 | 0 | | 0% |
| 12-01702 | Pritsker v. American General | New York | 05/10/2012 | 05/30/2014 | N | G | | x | | Rs Win | 770 | 0 | | 0% |
| 12-01705 | Himmelberger v. RBC Wealth | Seattle | 05/05/2012 | 03/25/2013 | Y | G | | x | | Stipulated | 19.5 | -1 | | |
| 12-01708 | Gonce v. Edward D Jones | Charlotte | 05/08/2012 | 02/04/2013 | N | D | | | | Cs Win | 182.6 | 20 | BD | 11% |
| 12-01712 | Epperson v. RBC Capital | San Francisco | 05/08/2012 | 07/12/2013 | N | G | x | | | Stipulated | 197.8 | -1 | | |
| 12-01716 | Glasser v. Wells Fargo | PP | 05/11/2012 | 01/23/2014 | N | G | | x | | Stipulated | 50 | -1 | | |
| 12-01720 | Hoffberg v. Rockwell Global | Chicago | 05/09/2012 | 04/02/2013 | Y | G | | | x | Stipulated | 25 | -1 | | |
| 12-01721 | Delmonico v. John Thomas Financial | Windsor | 05/10/2012 | 04/20/2015 | Y | D | | | | Stipulated | 250 | -1 | | |
| 12-01775 | Mayer v. Duffie | Denver | 05/14/2012 | 11/12/2013 | Y | G | | | x | Cs Win | 33 | 25 | BD, Bkr | 76% |
| 12-01784 | Byrns v. Allen-Kelsay | Honolulu | 05/08/2012 | 10/14/2013 | Y | G | x | x | x | Stipulated | 95 | -1 | | |
| 12-01789 | Mintz v. Meyer | Boca Raton | 05/15/2012 | 06/26/2013 | Y | G | | x | x | Stipulated | 125 | -1 | | |
| 12-01793 | Soards v. Merrill Lynch | Albuquerque | 05/15/2012 | 05/02/2013 | N | G | | | x | Rs Win | 460 | 0 | | 0% |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-01806 | Ferruggia v. David Lerner | Newark | 05/14/2012 | 06/25/2014 | Y | D | | | | Cs Win | 558.8 | 260 | BD | 47% |
| 12-01812 | Prestige v. Raymond James | Phoenix | 05/14/2012 | 10/22/2013 | N | G | | | x | Stipulated | 680 | -1 | | |
| 12-01827 | Lott v. Wells Fargo | Birmingham | 05/16/2012 | 09/16/2013 | N | G | | x | | Stipulated | 150 | -1 | | |
| 12-01828 | Thompson v. Citigroup Global | Birmingham | 05/16/2012 | 07/11/2013 | N | D | | | | Stipulated | 371.5 | -1 | | |
| 12-01842 | International Alliance v. UBS Financial | Boca Raton | 05/18/2012 | 08/28/2013 | N | G | | x | | Stipulated | 16000 | -1 | | |
| 12-01845 | Kava v. Wells Fargo | Boca Raton | 05/16/2012 | 10/04/2013 | N | G | | x | | Rs Win | 100 | 0 | | 0% |
| 12-01858 | Hamilton v. Wells Fargo | Indianapolis | 05/15/2012 | 01/22/2014 | N | G | x | | | Stipulated | 200 | -1 | | |
| 12-01859 | Teachworth v. Charles Schwab | Houston | 05/09/2012 | 10/16/2013 | N | G | | x | | Stipulated | 505.9 | -1 | | |
| 12-01872 | Usina v. UBS Financial | Jacksonville | 05/16/2012 | 07/05/2013 | N | G | | x | | Stipulated | 47 | -1 | | |
| 12-01887 | Sharma v. Deshmukh | Little Rock | 05/22/2012 | 06/06/2013 | Y | D | | | | Cs Win | 164.1 | 155 | BD | 94% |
| 12-01900 | Tobel v. Robert W. Baird | Southfield | 05/15/2012 | 06/10/2014 | Y | D | | | | Cs Win | 550 | 175 | BD | 32% |
| 12-01901 | Carey v. PNC Investments | PP | 05/16/2012 | 04/24/2013 | Y | G | | | x | Cs Win | 7.5 | 4.1 | BD | 55% |
| 12-01906 | Selland v. Fidelity Brokerage | Phoenix | 05/22/2012 | 03/12/2014 | N Y | G | | | x | Stipulated | 100 | -1 | | |
| 12-01915 | Rogers v. Seaport Securities | New York | 05/21/2012 | 05/15/2013 | BD only | D | | | | Rs Win | 3475 | 0 | | 0% |
| 12-01917 | Mossack v. UBS Financial | New York | 05/21/2012 | 06/02/2014 | N | G | x | x | x | Stipulated | 250 | -1 | | |
| 12-01933 | Berger v. Charles Schwab | Boca Raton | 05/23/2012 | 09/09/2013 | N | G | | | x | Stipulated | 87 | -1 | | |
| 12-01936 | Bruk v. Bellucci | Las Vegas | 05/23/2012 | 09/24/2014 | Y | D | | | | Rs Win | 138.7 | 0 | | 0% |
| 12-01963 | McReynolds v. Edward D Jones | PP | 05/22/2012 | 04/30/2013 | Y | G | x | x | | Rs Win | 3.9 | 0 | | 0% |
| 12-01971 | Chris's Stuff v. Morgan Stanley | Los Angeles | 05/25/2012 | 02/21/2014 | N | D | | | | Rs Win | 1000 | 0 | | 0% |
| 12-01975 | Binai v. Royal Alliance | San Francisco | 05/24/2012 | 07/23/2013 | N | G | | x | | Stipulated | 400 | -1 | | |
| 12-01990 | Pennington v. LPL Financial | Manchester | 05/30/2012 | 06/03/2014 | N | G | x | x | | Stipulated | 0 | -1 | | |
| 12-01998 | Kerr v. Hunter Associates | Pittsburgh | 05/29/2012 | 08/29/2013 | N | G | x | | x | Stipulated | 5000 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-01999 | Sexton v. Edward D Jones | Indianapolis | 05/25/2012 | 08/19/2013 | Y | G | x | x | | Stipulated | 38 | -1 | | |
| 12-02000 | Coalson v. Merrill Lynch | Dallas | 05/24/2012 | 10/01/2013 | Y | D | | | | Cs Win | 1200 | 1197.8 | BD | 100% |
| 12-02012 | Samuel v. Ensemble Financial | Syracuse | 05/30/2012 | 02/13/2015 | Y | D | | | | Cs Win | 16100 | 1200 | BD | 7% |
| 12-02024 | Estes v. Oppenheimer & Company | St. Louis | 05/30/2012 | 06/24/2014 | N | D | | | | Cs Win | 736.6 | 231.6 | BD | 31% |
| 12-02031 | Hart v. Halcyon Cabot | New York | 05/29/2012 | 11/14/2014 | Y | D | | | | Cs Win | 47.9 | 25 | BD | 52% |
| 12-02032 | Baron v. National Securities | Newark | 05/30/2012 | 03/03/2014 | Y | G | | x | | Stipulated | 350 | -1 | | |
| 12-02041 | Gardiner v. Wells Fargo | Fort Lauderdale | 05/30/2012 | 06/27/2013 | N | G | | | x | Stipulated | 500 | -1 | | |
| 12-02066 | Santiago v. Chase Investment | New York | 05/22/2012 | 07/22/2013 | N | G | x | x | | Stipulated | 40 | -1 | | |
| 12-02068 | Ferris v. Morgan Stanley | Atlanta | 05/30/2012 | 01/08/2014 | Y | D | | | | Stipulated | 300.5 | -1 | | |
| 12-02070 | Burton v. DA Davidson | Cheyenne | 05/29/2012 | 12/09/2013 | N | G | | x | | Stipulated | 100 | -1 | | |
| 12-02081 | Loomstein v. FSC Securities | Dallas | 06/01/2012 | 06/18/2013 | Y | G | | | x | Rs Win | 163.8 | 0 | | 0% |
| 12-02101 | Cagnola v. Wells Fargo | Houston | 06/05/2012 | 12/19/2013 | Y | D | | | | Stipulated | 334.8 | -1 | | |
| 12-02107 | Turner v. Fall | Tampa | 05/30/2012 | 10/24/2013 | Y | G | | | x | Stipulated | 100 | -1 | | |
| 12-02113 | Ford v. Hensler | Detroit | 05/30/2012 | 01/16/2014 | Y | G | | x | | Rs Win | 99.5 | 0 | | 0% |
| 12-02123 | Ellis v. Morgan Stanley | Orlando | 06/06/2012 | 10/31/2013 | N | G | x | x | | Stipulated | 200 | -1 | | |
| 12-02127 | Klimpel v. Ameriprise Financial | Portland | 06/04/2012 | 10/31/2013 | N | G | x | | | Stipulated | 90 | -1 | | |
| 12-02163 | Kunar v. Wells Fargo | Cleveland | 06/08/2012 | 03/28/2014 | N Y | G | | x | x | Stipulated | 50 | -1 | | |
| 12-02191 | Metzinger v. Wells Fargo | Newark | 06/11/2012 | 10/23/2014 | N | D | | | | Stipulated | 150 | -1 | | |
| 12-02202 | Liebergesell v. Pettinelli | San Francisco | 06/12/2012 | 07/21/2014 | Y | G | x | x | | Stipulated | 2638.7 | -1 | | |
| 12-02212 | Berman Klein v. Cantella & Company | Hartford | 06/12/2012 | 12/31/2013 | Y | D | | | | Rs Win | 1000 | 0 | | 0% |
| 12-02226 | Lopez v. Legend Merchant | Chicago | 06/08/2012 | 04/02/2014 | Y | G | | | x | Stipulated | 250 | -1 | | |

| | | | | | | | Rule 2080/2130 Findings | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Factually Impossible or Clearly Erroneous | False Claim | Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
| 12-02231 | Nogueira v. Ameriprise Financial | PP | 06/07/2012 | 02/08/2013 | Y | G | | x | | Rs Win | 27 | 0 | | 0% |
| 12-02233 | De Felice v. Raymond James | Philadelphia | 06/15/2012 | 10/03/2013 | Y | G | x | | | Rs Win | 49.5 | 0 | | 0% |
| 12-02242 | Calvin Brown Trust v. Citigroup Global | San Diego | 06/16/2012 | 07/16/2015 | N | G | x | | | Cs Win | 47127 | 327 | BD | 1% |
| 12-02251 | Kloppenberg v. SII Investments | Chicago | 06/11/2012 | 02/14/2014 | N | D | | | | Stipulated | 165 | -1 | | |
| 12-02257 | Lutz v. Morgan Stanley | Jackson | 06/14/2012 | 07/24/2015 | Y | D | | | | Cs Win | 4429.6 | 2382.9 | | 54% |
| 12-02268 | Lyon v. Citigroup Global | Washington | 06/15/2012 | 07/31/2014 | N | D | | | | Stipulated | 165.6 | -1 | | |
| 12-02303 | Jalil v. BBVA Compass | Birmingham | 06/19/2012 | 06/19/2013 | N | G | x | x | x | Stipulated | 489.3 | -1 | | |
| 12-02329 | Haspel v. Morgan Stanley | New Orleans | 06/15/2012 | 11/21/2014 | Y | G | x | x | | Stipulated | 700 | -1 | | |
| 12-02349 | Pickens v. Wells Fargo | Columbia | 06/21/2012 | 11/26/2013 | N | D | | | | Cs Win | 2470.6 | 1307.8 | BD | 53% |
| 12-02355 | Hopping v. Morgan Stanley | Detroit | 06/19/2012 | 09/27/2013 | Y | G | | x | | Stipulated | 229.3 | -1 | | |
| 12-02386 | Beddingfield v. LaSalle Street | Dallas | 06/25/2012 | 03/13/2013 | Y | G | | x | | Stipulated | 175 | -1 | | |
| 12-02409 | Truszkowski v. Darby | Newark | 06/28/2012 | 03/27/2014 | Y | G | | x | | Rs Win | 100 | 0 | | 0% |
| 12-02416 | Gallagher v. Ameriprise Financial | Dallas | 06/26/2012 | 11/19/2013 | N | G | | x | | Stipulated | 250 | -1 | | |
| 12-02421 | Lark v. Citigroup Global | Newark | 06/29/2012 | 10/31/2013 | Y | G | | x | | Stipulated | 269 | -1 | | |
| 12-02426 | Mastropietro v. LPL Financial | Tampa | 07/02/2012 | 09/19/2013 | N | G | | x | x | Stipulated | 125 | -1 | | |
| 12-02448 | Schiebel v. Bachman | Phoenix | 06/29/2012 | 05/20/2013 | Y | G | x | | | Stipulated | 45.8 | -1 | | |
| 12-02482 | Ginsberg v. Ginsberg | Boca Raton | 07/05/2012 | 08/15/2014 | Y | G | x | x | x | Rs Win | 1000 | 0 | | 0% |
| 12-02485 | Weaver v. Ameriprise Financial | Los Angeles | 07/06/2012 | 10/14/2013 | Y | G | x | x | | Rs Win | 100 | 0 | | 0% |
| 12-02487 | Steffy v. LPL Financial | Dallas | 07/19/2012 | 02/11/2014 | Y | G | x | | x | Rs Win | 144.2 | 0 | | 0% |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-02497 | Halusky v. Ameriprise Financial | Baltimore | 07/09/2012 | 09/19/2013 | N | G | x | x | | Stipulated | 95 | -1 | | |
| 12-02499 | Unanue v. Morgan Stanley | Miami | 07/06/2012 | 05/21/2015 | Y | D | | | | Rs Win | 8047.7 | 0 | | 0% |
| 12-02504 | Coneen v. Bresnick | San Diego | 07/06/2012 | 01/29/2014 | Y | G | | x | | Stipulated | 12083.9 | -1 | | |
| 12-02522 | Berg v. UBS Financial | Chicago | 07/10/2012 | 02/19/2014 | N | G | | | x | Stipulated | 50 | -1 | | |
| 12-02533 | Schvey v. Janney Montgomery | New York | 07/09/2012 | 08/14/2015 | N | D | | | | Cs Win | 1000 | 427.1 | | 43% |
| 12-02541 | Matalon v. Baruch | Boca Raton | 07/09/2012 | 10/08/2013 | Y | G | x | x | x | Rs Win | 75 | 0 | Cmr | 0% |
| 12-02542 | Reynolds v. Morgan Stanley | Baltimore | 07/11/2012 | 05/09/2014 | Y | G | x | x | | Stipulated | 8250.7 | -1 | | |
| 12-02543 | Meyers v. UBS Financial | Fort Lauderdale | 07/11/2012 | 06/17/2014 | N | G | | | x | Stipulated | 2181.2 | -1 | | |
| 12-02562 | Pistillo v. Keating | Boca Raton | 07/11/2012 | 10/23/2013 | Y | G | x | | | Stipulated | 1276.9 | -1 | | |
| 12-02569 | Wilson v. Stifel Nicolaus | PP | 07/11/2012 | 07/26/2013 | N | G | x | x | x | Rs Win | 44 | 0 | | 0% |
| 12-02570 | Porter v. UBS International | Houston | 07/12/2012 | 10/10/2014 | N | G | x | | | Stipulated | 1000 | -1 | | |
| 12-02581 | Giangrande v. Rockwell Global | Boston | 07/12/2012 | 10/24/2013 | Y | D | | | | Cs Win | 275 | 190 | BD, Bkr | 69% |
| 12-02582 | Blue Bank v. HSBC Bank | Miami | 07/16/2012 | 01/13/2015 | Y | D | | | | Cs Win | 8872.5 | 3250 | BD, Bkr | 37% |
| 12-02585 | Bresky v. RBC Capital | Boca Raton | 07/13/2012 | 04/30/2014 | N | G | | x | | Stipulated | 400 | -1 | | |
| 12-02586 | Belpedio v. David Lerner | Boca Raton | 07/13/2012 | 01/10/2014 | N | G | x | x | | Stipulated | 400 | -1 | | |
| 12-02598 | Harbort v. David Lerner | New York | 07/12/2012 | 01/17/2014 | N | G | | x | | Stipulated | 72.3 | -1 | | |
| 12-02617 | Schutt v. Solomon | PP | 07/14/2012 | 06/17/2013 | Y | D | | | | Rs Win | 13.4 | 0 | | 0% |
| 12-02622 | Esposito v. Morgan Stanley | New York | 07/18/2012 | 07/11/2013 | Y | G | | x | | Rs Win | 646 | 0 | | 0% |
| 12-02652 | Resnick v. Merrill Lynch | Denver | 07/16/2012 | 09/06/2013 | N | D | | | | Stipulated | 49 | -1 | | |
| 12-02657 | Kimbrough v. Blount | Little Rock | 07/16/2012 | 05/27/2014 | Y | D | | | | Stipulated | 90.7 | -1 | | |
| 12-02667 | Mysliwiec v. Wells Fargo | Detroit | 07/20/2012 | 04/03/2014 | N | D | | | | Stipulated | 0 | -1 | | |
| 12-02682 | Secor v. Leonard & Company | Detroit | 07/16/2012 | 08/25/2014 | Y | D | | | | Stipulated | 350 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-02683 | Goldberg v. Securities America | Cleveland | 07/19/2012 | 11/11/2013 | N | D | | | | Cs Win | 3330.3 | 573.3 | BD | 17% |
| 12-02701 | Venuchekov v. Merrill Lynch | Washington | 07/23/2012 | 07/18/2014 | N | D | | | | Stipulated | 160 | -1 | | |
| 12-02704 | Johnson v. Wilbanks Securities | Atlanta | 07/19/2012 | 10/08/2013 | Y | G | | x | | Stipulated | 150 | -1 | | |
| 12-02706 | Santiago-Gonzalez v. UBS Financial | San Juan | 07/25/2012 | 06/18/2015 | N | D | | | | Rs Win | 924.1 | 0 | | 0% |
| 12-02707 | Brancati v. Morgan Stanley | New York | 07/24/2012 | 10/16/2013 | N | G | x | | | Stipulated | 0 | -1 | | |
| 12-02710 | Frangione v. RBC Capital | PP | 07/23/2012 | 05/17/2013 | Y | D | | | | Cs Win | 21 | 15.1 | BD, Bkr | 72% |
| 12-02712 | Sahara v. Charles Schwab | Honolulu | 07/20/2012 | 08/21/2013 | N | D | | | | Rs Win | 700 | 0 | | 0% |
| 12-02715 | Goldsmith v. UBS Financial | Boca Raton | 07/23/2012 | 12/04/2013 | N | G | | | x | Stipulated | 500 | -1 | | |
| 12-02734 | Kerr Trust v. 1st Worldwide | Dallas | 07/27/2012 | 06/09/2014 | Y | G | x | x | | Stipulated | 0 | -1 | | |
| 12-02735 | Meltport Pension Trust v. Janney Montgomery | Pittsburgh | 07/20/2012 | 04/19/2013 | Y | G | | x | x | Stipulated | 321 | -1 | | |
| 12-02744 | McLaughlin v. Morgan Stanley | Orlando | 07/21/2012 | 09/17/2013 | Y | G | x | | | Stipulated | 0 | -1 | | |
| 12-02751 | Gaertner v. Merrill Lynch | San Francisco | 07/26/2012 | 11/22/2013 | N | G | x | x | | Stipulated | 5000 | -1 | | |
| 12-02755 | Rosalba Capital v. Credit Suisse | Miami | 07/27/2012 | 07/17/2014 | Y | G | | x | x | Stipulated | 0 | -1 | | |
| 12-02762 | Smith v. LPL Financial | Nashville | 07/25/2012 | 02/21/2014 | N | D | | | | Stipulated | 100 | -1 | | |
| 12-02765 | Stout v. Synergy Investment | Charlotte | 07/26/2012 | 12/04/2013 | Y | G | x | x | | Stipulated | 1888.6 | -1 | | |
| 12-02770 | Davis v. McDonald Partners | Phoenix | 07/27/2012 | 07/09/2014 | Y | G | | x | | Stipulated | 2600 | -1 | | |
| 12-02771 | Cullip v. Edward Jones | Detroit | 07/24/2012 | 02/27/2014 | N | G | | x | | Stipulated | 72 | -1 | | |
| 12-02772 | Bailey v. Edward D Jones | Dallas | 07/30/2012 | 10/10/2013 | Y | D | | | | Cs Win | 174.6 | 264 | BD, Bkr | 151% |
| 12-02789 | Hextall v. JP Morgan | Los Angeles | 07/27/2012 | 06/26/2014 | N | G | | | x | Stipulated | 1280 | -1 | | |
| 12-02829 | Morrow v. Edward D Jones | Jackson | 07/30/2012 | 08/05/2013 | Y | D | | | | Rs Win | 464 | 0 | | 0% |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-02841 | Artmire v. First Midwest | Dallas | 07/31/2012 | 07/02/2015 | N | D | | | | Cs Win | 296.1 | 818.5 | | 276% |
| 12-02877 | Redwood Partners v. Hovde Securities | Chicago | 08/08/2012 | 09/11/2013 | Y | G | x | x | x | Stipulated | 300 | -1 | | |
| 12-02879 | Brooke v. LPL Financial | Philadelphia | 08/06/2012 | 01/15/2014 | N | G | | x | | Stipulated | 42.5 | -1 | | |
| 12-02885 | Hingley v. Crown Capital | San Francisco | 08/06/2012 | 08/22/2014 | Y | D | | | | Cs Win | 2000 | 277.5 | BD, Bkr | 14% |
| 12-02895 | Shapiro v. Deutsche Bank | New York | 08/09/2012 | 05/30/2014 | Y | G | | x | | Stipulated | 170.6 | -1 | | |
| 12-02896 | McGrath v. LPL Financial | Helena | 08/06/2012 | 01/14/2014 | N | G | | x | | Stipulated | 300 | -1 | | |
| 12-02897 | Gilbert v. Noble | Jackson | 08/10/2012 | 03/31/2015 | Y | D | | | | Cs Win | 4219 | 1542.3 | BD, Bkr | 37% |
| 12-02899 | Reilly v. Chase Investment | Boca Raton | 08/09/2012 | 05/14/2013 | N | G | | | x | Stipulated | 100 | -1 | | |
| 12-02901 | Alben v. LPL Financial | Minneapolis | 08/10/2012 | 01/10/2014 | N | G | | x | | Stipulated | 0 | -1 | | |
| 12-02904 | Minahan v. UBS Financial | Houston | 08/08/2012 | 06/16/2014 | Y | G | | | x | Stipulated | 1000 | -1 | | |
| 12-02908 | Bailey v. TFS Securities | Philadelphia | 08/13/2012 | 01/16/2014 | Y | G | x | | | Stipulated | 100 | -1 | | |
| 12-02911 | Champion v. Ameriprise Financial | Columbia | 08/13/2012 | 04/15/2014 | N | G | x | x | | Rs Win | 100 | 0 | | 0% |
| 12-02917 | Wilson v. ARI Financial | Seattle | 08/10/2012 | 03/06/2015 | Y | D | | | | Stipulated | 1800 | -1 | | |
| 12-02924 | Saldanha v. Raymond James | Charleston | 08/10/2012 | 03/27/2014 | Y | G | x | | x | Stipulated | 41.9 | -1 | | |
| 12-02933 | Baldwin v. Gramercy Securities | Los Angeles | 08/10/2012 | 07/09/2013 | Y | G | | x | | Stipulated | 0 | -1 | | |
| 12-02938 | Wilson v. LPL Financial | Dallas | 08/20/2012 | 08/06/2013 | N | G | x | x | | Stipulated | 99 | -1 | | |
| 12-02943 | Woods v. David Lerner | New York | 08/13/2012 | 05/28/2014 | N | G | | x | | Stipulated | 0 | -1 | | |
| 12-02944 | Power v. Chase Investment | PP | 08/14/2012 | 07/31/2013 | N | G | | x | | Stipulated | 47.9 | -1 | | |
| 12-02963 | Butler v. Kennard | Seattle | 08/13/2012 | 09/06/2013 | Y | D | | | | Rs Win | 550 | 0 | | 0% |
| 12-02966 | Schneider v. Investment Planners | St. Louis | 08/16/2012 | 01/06/2014 | Y | G | x | x | | Stipulated | 95 | -1 | | |
| 12-02997 | Meripol v. LPL Financial | Los Angeles | 08/14/2012 | 08/28/2014 | Y | G | | x | | Stipulated | 283 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-03003 | Real Estate Seizure v. IFC Holdings | New York | 08/20/2012 | 06/12/2014 | Y | D | | | | Stipulated | 1000 | -1 | | |
| 12-03020 | Ginsbeg v. Merrill Lynch | New York | 08/21/2012 | 04/13/2015 | Y | D | | | | Rs Win | 4823.7 | 0 | | 0% |
| 12-03042 | Matienzo-Carrion v. Popular Securities | San Juan | 08/22/2012 | 01/30/2014 | N | G | | x | | Rs Win | 2400 | 0 | | 0% |
| 12-03047 | Blue Sky v. UBS Financial | New York | 08/21/2012 | 12/04/2014 | N | G | x | x | | Stipulated | 180 | -1 | | |
| 12-03049 | Perricone v. UBS Financial | Hartford | 08/23/2012 | 09/24/2014 | N | G | | x | | Rs Win | 2750 | 0 | Cmr | 0% |
| 12-03055 | Warstler v. Barmes | PP | 08/22/2012 | 03/12/2013 | Y | D | | | | Cs Win | 3.9 | 1.5 | BD, Bkr | 38% |
| 12-03061 | Timken v. Wells Fargo | St. Louis | 08/24/2012 | 05/15/2013 | N Y | G | x | | | Rs Win | 60 | 0 | | 0% |
| 12-03078 | Walker v. LPL Financial | Phoenix | 08/24/2012 | 07/01/2014 | N | D | | | | Stipulated | 50 | -1 | | |
| 12-03079 | Sanders v. Edward Jones | Denver | 08/20/2012 | 05/22/2015 | Y | D | | | | Stipulated | 0 | -1 | | |
| 12-03083 | Feagan v. PNC Investments | Cincinnati | 08/27/2012 | 08/01/2014 | Y | G | x | | x | Stipulated | 0 | -1 | | |
| 12-03093 | Fletcher Brothers v. NFP Securities | Newark | 08/27/2012 | 07/07/2015 | Y | G | | | x | Cs Win | 2129 | 240 | BD | 11% |
| 12-03139 | Lighthouse Point v. RP Capital | Seattle | 08/28/2012 | 04/17/2014 | Y | G | x | x | x | Stipulated | 954 | -1 | | |
| 12-03153 | Seline v. Wells Fargo | Washington | 08/28/2012 | 03/21/2014 | N | G | x | | | Stipulated | 350 | -1 | | |
| 12-03168 | Golan v. UBS Financial | Miami | 08/30/2012 | 11/10/2014 | N | G | | x | | Stipulated | 100 | -1 | | |
| 12-03170 | Avi-Tal v. Capital Conclusions | Miami | 08/28/2012 | 10/31/2013 | Y | G | x | x | | Rs Win | 60.9 | 0 | | 0% |
| 12-03175 | Schild v. Wells Fargo | Los Angeles | 08/31/2012 | 12/10/2013 | N | G | | x | | Stipulated | 125 | -1 | | |
| 12-03187 | Walsh v. Capitol Securities | Buffalo | 08/30/2012 | 11/25/2013 | Y | D | | | | Rs Win | 56 | 0 | | 0% |
| 12-03196 | Caudill v. Edward D Jones | Reno | 09/06/2012 | 10/25/2013 | Y | G | x | | | Rs Win | 96.4 | 0 | | 0% |
| 12-03224 | Afrasiabi v. Kang | Los Angeles | 08/31/2012 | 10/28/2013 | Y | G | x | x | | Stipulated | 35 | -1 | | |
| 12-03227 | Alatorre v. Unionbanc Investment | San Francisco | 09/10/2012 | 03/21/2013 | N | G | x | x | | Stipulated | 240 | -1 | | |
| 12-03245 | RBB LLC v. Wells Fargo | Boca Raton | 09/07/2012 | 12/05/2014 | N | G | x | | x | Stipulated | 100 | -1 | | |

| | | | | | | | Rule 2080/2130 Findings | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Factually Impossible or Clearly Erroneous | False Claim | Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
| 12-03247 | Blakeman v. Bayat | Los Angeles | 09/06/2012 | 06/27/2014 | Y | G | | | x | Stipulated | 1451.1 | -1 | | |
| 12-03256 | Schneider v. UBS Financial | Hartford | 09/10/2012 | 10/02/2013 | N | D | | | | Stipulated | 500 | -1 | | |
| 12-03264 | Dimopoulos v. Fontana | Miami | 09/06/2012 | 08/06/2013 | Y | G | | x | | Stipulated | 4.6 | -1 | | |
| 12-03271 | Taylor v. LPL Financial | Dallas | 09/10/2012 | 06/04/2014 | N | G | | x | | Stipulated | 1000 | -1 | | |
| 12-03284 | Collins v. LPL Financial | Tampa | 09/14/2012 | 04/15/2014 | N | G | x | | | Stipulated | 100 | -1 | | |
| 12-03288 | Ahmed v. Tricor Financial | Las Vegas | 09/12/2012 | 03/02/2015 | BD only | D | | | | Cs Win | 668 | 184.4 | BD | 28% |
| 12-03299 | Kloehn v. Wells Fargo | Newark | 09/10/2012 | 08/12/2013 | Y | G | x | x | | Rs Win | 900 | 0 | | 0% |
| 12-03318 | Phillips v. Morgan Stanley | Charlotte | 09/14/2012 | 11/05/2013 | N | G | | x | | Stipulated | 98.5 | -1 | | |
| 12-03321 | Martinez v. UBS Financial | San Juan | 08/22/2012 | 04/21/2014 | N | G | | x | | Stipulated | 99 | -1 | | |
| 12-03340 | Mason v. Wells Fargo | Orlando | 09/18/2012 | 12/24/2013 | N | G | x | | | Stipulated | 500 | -1 | | |
| 12-03358 | Allen v. Merrill Lynch | Chicago | 09/19/2012 | 12/23/2013 | N | G | | x | | Stipulated | 0 | -1 | | |
| 12-03364 | Richard v. Mosley | Orlando | 09/19/2012 | 02/19/2014 | Y | G | | x | | Stipulated | 100 | -1 | | |
| 12-03372 | Hopper v. Purshe Kaplan | San Diego | 09/18/2012 | 06/03/2014 | Y | G | x | x | x | Stipulated | 1000 | -1 | | |
| 12-03374 | Hutchinson v. First Allied | Phoenix | 09/20/2012 | 02/10/2014 | Y | D | | | | Stipulated | 2200 | -1 | | |
| 12-03403 | Ayers v. Clarke | Newark | 09/20/2012 | 12/06/2013 | Y | G | | x | | Rs Win | 142.8 | 0 | | 0% |
| 12-03405 | Racitano v. UBS Financial | Buffalo | 09/22/2012 | 01/29/2014 | N | G | x | x | | Stipulated | 50 | -1 | | |
| 12-03412 | Clark v. Lincoln Financial | Baltimore | 09/21/2012 | 03/31/2014 | Y | G | | x | | Rs Win | 500 | 0 | | 0% |
| 12-03415 | Giusto v. Edward D Jones | Portland | 09/21/2012 | 10/11/2013 | Y | G | x | | x | Stipulated | 133 | -1 | | |
| 12-03425 | Karp v. UBS Financial | Dallas | 09/20/2012 | 03/10/2015 | N | G | x | x | | Stipulated | 136 | -1 | | |
| 12-03428 | Grimaudo v. Altomari | New York | 09/20/2012 | 04/23/2014 | Y | G | | x | x | Stipulated | 1500 | -1 | | |
| 12-03447 | McCauley v. Ameriprise Financial | Pittsburgh | 09/24/2012 | 01/09/2014 | Y | G | | x | x | Rs Win | 258 | 0 | | 0% |
| 12-03460 | Lilley v. Raymond James | Cleveland | 09/27/2012 | 04/24/2014 | Y | G | | | x | Stipulated | 70.1 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-03463 | Sobran v. Casserly | PP | 09/25/2012 | 05/31/2013 | Y | G | x | x | | Stipulated | 30 | -1 | | |
| 12-03469 | Stein v. Ameriprise Financial | PP | 09/27/2012 | 11/07/2013 | BD only | D | | | | Rs Win | 47.2 | 0 | | 0% |
| 12-03470 | Bernick v. Buckman Buckman | New York | 09/28/2012 | 03/26/2014 | Y | D | | | | Rs Win | 75 | 0 | | 0% |
| 12-03473 | Olson v. McLaughlin | San Diego | 09/26/2012 | 01/22/2014 | Y | D | | | | Cs Win | 114.9 | 36 | BD, Bkr | 31% |
| 12-03486 | Shirvani v. Morgan Stanley | PP | 09/28/2012 | 08/07/2013 | Y | G | x | | x | Rs Win | 22.9 | 0 | | 0% |
| 12-03492 | Heller v. Chase Investment | Chicago | 09/30/2012 | 07/17/2013 | N | G | x | x | | Stipulated | 40 | -1 | | |
| 12-03520 | Robinson v. Morgan Stanley | Miami | 10/02/2012 | 04/07/2014 | N | G | | x | | Stipulated | 93.6 | -1 | | |
| 12-03525 | Dohrn v. Myers | Portland | 09/28/2012 | 02/26/2015 | Y | G | | x | | Stipulated | 0 | -1 | | |
| 12-03531 | Hadley v. LPL Financial | New Orleans | 10/01/2012 | 07/10/2013 | N | G | x | x | | Stipulated | 100 | -1 | | |
| 12-03551 | Lamm-Roberts v. Morgan Stanley | San Diego | 10/03/2012 | 10/25/2013 | N | G | | x | | Stipulated | 95 | -1 | | |
| 12-03552 | Lambert v. Morgan Stanley | San Francisco | 10/05/2012 | 02/11/2014 | N | G | x | | | Rs Win | 308.2 | 0 | | 0% |
| 12-03564 | Solomon v. Morgan Stanley | Miami | 10/05/2012 | 10/17/2013 | Y | G | x | | | Stipulated | 0 | -1 | | |
| 12-03571 | Cooper v. Citigroup Global | New York | 10/10/2012 | 10/15/2013 | Y | G | | x | | Stipulated | 175.9 | -1 | | |
| 12-03577 | Cheng v. DPEC Capital | New York | 11/29/2012 | 12/27/2013 | Y | D | | | | Rs Win | 385.9 | 0 | | 0% |
| 12-03584 | Parriott v. UBS Financial | Las Vegas | 10/09/2012 | 02/03/2014 | N | G | | x | | Stipulated | 1000 | -1 | | |
| 12-03588 | Edelman v. Morgan Stanley | New York | 10/15/2012 | 08/05/2014 | N | G | | x | | Stipulated | 91 | -1 | | |
| 12-03597 | Boyd v. Investacorp Incorporated | Tampa | 10/10/2012 | 07/07/2014 | Y | D | | | | Stipulated | 200 | -1 | | |
| 12-03600 | Fleischer v. Citigroup Global | Fort Lauderdale | 10/11/2012 | 08/13/2014 | N | G | | | x | Stipulated | 100 | -1 | | |
| 12-03610 | Czarnecki v. First Allied | Philadelphia | 10/16/2012 | 01/14/2014 | Y | G | x | | | Stipulated | 300 | -1 | | |
| 12-03625 | Krauss v. Royal Alliance | Cleveland | 10/17/2012 | 12/20/2013 | N | D | | | | Stipulated | 0 | -1 | | |
| 12-03630 | Berlin v. Next Financial | New York | 10/15/2012 | 11/26/2013 | Y | G | x | x | x | Stipulated | 237.6 | -1 | | |

| | | | | | | | Rule 2080/2130 Findings | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Factually Impossible or Clearly Erroneous | False Claim | Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
| 12-03649 | Hetzel v. Alpha Omega | Richmond | 10/17/2012 | 04/07/2014 | Y | G | | | x | Stipulated | 1200 | -1 | | |
| 12-03658 | Hazan v. Charles Schwab | Boca Raton | 10/16/2012 | 05/15/2014 | N | D | | | | Stipulated | 250 | -1 | | |
| 12-03668 | Landau v. Citigroup Global | New York | 10/22/2012 | 03/20/2014 | N | D | | | | Stipulated | 300 | -1 | | |
| 12-03688 | Ortopedas Asociados v. UBS Financial | San Juan | 10/22/2012 | 06/04/2015 | N | G | | x | | Stipulated | 1000 | -1 | | |
| 12-03694 | Lenz v. Ausdal Financial | Chicago | 10/22/2012 | 06/20/2014 | Y | G | | x | | Stipulated | 110 | -1 | | |
| 12-03702 | Yelamanchi v. NSM Securities | Orlando | 10/23/2012 | 02/03/2014 | BD only | D | | | | Cs Win | 200 | 187.2 | BD, Bkr | 94% |
| 12-03707 | Demello v. Coburn & Meredith | Providence | 10/18/2012 | 11/26/2013 | Y | G | | x | | Rs Win | 325 | 0 | | 0% |
| 12-03708 | Einsiedler v. Royal Alliance | Newark | 10/25/2012 | 10/15/2013 | Y | G | x | x | | Stipulated | 0 | -1 | | |
| 12-03710 | Smith v. Morgan Stanley | Fort Lauderdale | 10/22/2012 | 07/29/2013 | N | G | | x | | Rs Win | 150 | 0 | | 0% |
| 12-03711 | Gutman v. Morgan Stanley | Fort Lauderdale | 10/22/2012 | 12/20/2013 | N | G | x | x | | Stipulated | 57 | -1 | | |
| 12-03712 | Nadolink v. Morgan Stanley | Miami | 10/22/2012 | 06/27/2014 | N | G | | x | | Stipulated | 383.3 | -1 | | |
| 12-03717 | Gilliam v. Sagepoint Financial | Portland | 10/23/2012 | 07/22/2013 | Y | G | x | | | Rs Win | 59 | 0 | | 0% |
| 12-03718 | Baker v. Chaumin | Seattle | 10/25/2012 | 05/28/2014 | Y | G | | | x | Stipulated | 658.3 | -1 | | |
| 12-03720 | Knight v. LPL Financial | Portland | 10/19/2012 | 08/16/2013 | N | G | | x | | Stipulated | 254 | -1 | | |
| 12-03730 | Friedman v. Merrill Lynch | New York | 10/26/2012 | 12/27/2013 | Y | G | x | | | Stipulated | 552 | -1 | | |
| 12-03753 | Shecter v. Wells Fargo | Philadelphia | 10/25/2012 | 08/07/2014 | N | D | | | | Stipulated | 150 | -1 | | |
| 12-03755 | Gross v. Ross | New York | 10/25/2012 | 04/09/2015 | Y | G | x | | | Rs Win | 489.2 | 0 | | 0% |
| 12-03778 | Bauers v. Charles Schwab | PP | 10/29/2012 | 12/08/2014 | Y | G | | x | | Rs Win | 50 | 0 | | 0% |
| 12-03795 | Gurfein v. Morgan Stanley | Boca Raton | 11/02/2012 | 04/07/2014 | N | G | | x | | Stipulated | 100 | -1 | | |
| 12-03802 | Randolph v. Foothill Securities | San Francisco | 11/01/2012 | 07/24/2015 | Y | D | | | | Stipulated | 220.3 | -1 | | |
| 12-03836 | Magee v. Ameriprise Financial | Columbia | 11/08/2012 | 02/20/2014 | N | G | x | x | | Stipulated | 60 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-03842 | Treece v. Wells Fargo | Houston | 11/07/2012 | 02/23/2015 | N | G | | | x | Stipulated | 134500 | -1 | | |
| 12-03850 | Barr v. Wells Fargo | Raleigh | 11/08/2012 | 05/01/2014 | Y | G | x | x | | Rs Win | 41.1 | 0 | | 0% |
| 12-03853 | Soler v. LPL Financial | Atlanta | 11/05/2012 | 04/07/2015 | N | D | | | | Cs Win | 188.3 | 95.4 | BD | 51% |
| 12-03857 | Beam v. Saxony Securities | Pittsburgh | 10/25/2012 | 12/19/2014 | Y | D | | | | Rs Win | 324 | 0 | | 0% |
| 12-03873 | Lazow v. Merrill Lynch | Boca Raton | 11/09/2012 | 07/24/2014 | N | G | | x | | Stipulated | 0 | -1 | | |
| 12-03878 | Duffy v. LPL Financial | St. Louis | 11/09/2012 | 07/28/2014 | Y | G | | x | | Stipulated | 1000 | -1 | | |
| 12-03880 | Lurie v. Ameriprise Financial | New York | 11/13/2012 | 12/12/2014 | Y | G | x | | x | Stipulated | 29.9 | -1 | | |
| 12-03881 | Waxman v. Wells Fargo | New York | 11/06/2012 | 03/18/2014 | N | G | x | x | | Stipulated | 500 | -1 | | |
| 12-03885 | Osinski-Lipschitz v. Cosentino | Newark | 11/13/2012 | 08/12/2013 | Y | D | | | | Rs Win | 415 | 0 | | 0% |
| 12-03886 | Cartrette v. Galindo | Baltimore | 11/06/2012 | 04/16/2015 | Y | G | | x | | Stipulated | 2500 | -1 | | |
| 12-03892 | Rocco v. American General | Phoenix | 11/13/2012 | 01/22/2014 | Y | G | | x | | Stipulated | 95 | -1 | | |
| 12-03896 | McIntosh v. Wells Fargo | Dallas | 11/06/2012 | 08/22/2014 | Y | D | | | | Rs Win | 1000 | 0 | | 0% |
| 12-03901 | Harder v. Fidelity Brokerage | Chicago | 11/07/2012 | 03/10/2015 | Y | G | | x | | Stipulated | 200 | -1 | | |
| 12-03915 | Noble v. Edward D Jones | Chicago | 04/20/2012 | 10/22/2013 | Y | G | x | x | | Stipulated | 100 | -1 | | |
| 12-03924 | Hobby v. Wells Fargo | Newark | 11/14/2012 | 03/02/2015 | Y | D | | | | Cs Win | 80.6 | 60 | BD, Bkr | 74% |
| 12-03925 | Savary v. Wells Fargo | Charlotte | 11/14/2012 | 03/25/2014 | Y | G | | | x | Stipulated | 19 | -1 | | |
| 12-03934 | Richman v. Morgan Stanley | Boca Raton | 11/09/2012 | 04/10/2014 | N | D | | | | Cs Win | 4402 | 150 | BD | 3% |
| 12-03948 | Mosca v. Kelly | Newark | 11/16/2012 | 06/12/2014 | N Y | G | x | x | | Stipulated | 4000 | -1 | | |
| 12-03956 | Vignolo v. Morgan Stanley | San Francisco | 11/12/2012 | 06/23/2014 | N | G | | x | | Rs Win | 700 | 0 | | 0% |
| 12-03975 | Unger v. Wells Fargo | Boca Raton | 11/20/2012 | 04/23/2014 | N | D | | | | Stipulated | 995.5 | -1 | | |
| 12-03990 | Cress v. Edward D Jones | Kansas City | 11/21/2012 | 01/22/2014 | Y | G | | x | | Stipulated | 200 | -1 | | |
| 12-04001 | Poling v. Centaurus Financial | Las Vegas | 11/17/2012 | 02/27/2014 | Y | G | | x | | Rs Win | 50 | 0 | | 0% |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 12-04007 | Herbert v. UBS Financial | Louisville | 11/15/2012 | 10/21/2014 | N | G | x | x | x | Stipulated | 425 | -1 | | |
| 12-04039 | Suarez v. Morgan Stanley | Boca Raton | 11/21/2012 | 11/07/2014 | N | G | x | x | | Stipulated | 125 | -1 | | |
| 12-04043 | Eckerman v. SII Investments | Des Moines | 11/26/2012 | 06/13/2014 | Y | G | | | x | Stipulated | 1272.3 | -1 | | |
| 12-04045 | Rosenberg v. Next Financial | PP | 11/28/2012 | 03/27/2014 | Y | G | | | x | Cs Win | 50 | 14.7 | BD | 29% |
| 12-04047 | Klesney v. ICM Capital | Detroit | 11/27/2012 | 01/27/2014 | Y | D | | | | Cs Win | 50 | 35 | BD, Bkr | 70% |
| 12-04064 | Cabot North v. Steven L. Falk | Boston | 11/29/2012 | 08/28/2014 | N-D Y | G | x | x | | Rs Win | 959.1 | 0 | | 0% |
| 12-04075 | Gai v. Knowles | San Francisco | 11/21/2012 | 11/20/2013 | Y | G | | x | | Rs Win | 0 | 0 | | |
| 12-04085 | Goldman v. La Salle St. | Detroit | 11/30/2012 | 10/24/2014 | Y | D | | | | Stipulated | 1364 | -1 | | |
| 12-04087 | Benning v. Cambridge Investment | Albuquerque | 11/27/2012 | 07/30/2014 | Y | D | | | | Cs Win | 0 | 242.5 | BD | |
| 12-04093 | Zachs v. Credit Suisse | New York | 11/30/2012 | 07/08/2015 | Y | G | x | | | Rs Win | 3872.8 | 0 | | 0% |
| 12-04103 | Goldstein v. UBS Financial | Hartford | 11/20/2012 | 03/05/2014 | N | G | | x | | Rs Win | 93.8 | 0 | | 0% |
| 12-04104 | Ey v. RBC Wealth | Philadelphia | 11/29/2012 | 05/20/2014 | N | G | | | x | Stipulated | 750 | -1 | | |
| 12-04108 | Wellborn v. Ameriprise Financial | Birmingham | 11/20/2012 | 10/10/2014 | N | G | x | x | | Rs Win | 632 | 0 | | 0% |
| 12-04158 | Sciarra v. Gary Goldberg & Company | PP | 12/08/2012 | 07/31/2013 | Y | G | x | | | Rs Win | 25 | 0 | | 0% |
| 12-04159 | Bixler v. Wells Fargo | San Juan | 12/07/2012 | 05/01/2014 | Y | G | | x | | Stipulated | 455 | -1 | | |
| 12-04167 | Wasserman v. LPL Financial | Los Angeles | 12/06/2012 | 06/19/2014 | N | G | x | x | | Rs Win | 347.4 | 0 | | 0% |
| 12-04176 | Troutman v. Joseph Gunnar | Baltimore | 12/10/2012 | 05/23/2014 | Y | G | | | x | Cs Win | 1470.8 | 702 | BD, Bkr | 48% |
| 12-04185 | Methven v. American Portfolios | Atlanta | 12/07/2012 | 03/06/2014 | N | G | x | | x | Stipulated | 200 | -1 | | |
| 12-04190 | Kreda v. Morgan Stanley | Las Vegas | 12/07/2012 | 12/03/2014 | N | G | x | x | | Stipulated | 200 | -1 | | |
| 12-04192 | Diegel v. UBS Financial | Los Angeles | 12/07/2012 | 07/28/2014 | N | G | | x | | Stipulated | 100 | -1 | | |
| 12-04200 | Dragon Arena v. JP Morgan | San Francisco | 12/12/2012 | 12/01/2014 | N | G | | x | | Stipulated | 1500 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings | | | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | | | | | | Factually Impossible or Clearly Erroneous | False Claim | Not Involved | | | | | |
| 12-04201 | Code 3 Industries v. RBC Capital | San Diego | 12/11/2012 | 07/29/2015 | N | D | | | | Stipulated | 20000 | -1 | | |
| 12-04224 | Remington v. Hassan | San Francisco | 12/06/2012 | 05/07/2014 | Y | D | | | | Cs Win | 157.9 | 158 | BD, Bkr | 100% |
| 12-04287 | Giraud v. BBVA Securities | San Juan | 12/20/2012 | 07/16/2014 | Y | G | | | x | Stipulated | 980 | -1 | | |
| 12-04298 | Bhatia v. Ameriprise Financial | New York | 12/21/2012 | 09/10/2014 | Y | G | x | | | Stipulated | 126.8 | -1 | | |
| 12-04315 | Seyb v. RBC Capital | Minneapolis | 12/17/2012 | 08/12/2013 | N | G | x | | | Stipulated | 475 | -1 | | |
| 12-04331 | Hall v. Morgan Stanley | Seattle | 12/18/2012 | 03/27/2014 | N | G | | x | | Stipulated | 250 | -1 | | |
| 12-04333 | Johnson v. Wells Fargo | Helena | 12/18/2012 | 12/13/2013 | N | G | x | | | Stipulated | 200 | -1 | | |
| 12-04345 | Austin v. Morgan Stanley | Los Angeles | 12/17/2012 | 04/25/2014 | Y | D | | | | Cs Win | 45.6 | 19.1 | BD, Bkr | 42% |
| 12-04346 | Studenberg v. UBS Financial | Detroit | 12/21/2012 | 06/25/2014 | Y | G | | x | | Rs Win | 555.5 | 0 | | 0% |
| 12-04354 | Thoms v. Crowell Weedon | Los Angeles | 12/26/2012 | 08/14/2013 | N | G | | x | | Stipulated | 135.8 | -1 | | |
| 12-04358 | Scarito v. Wells Fargo | Newark | 12/28/2012 | 03/10/2014 | N | G | x | | | Stipulated | 200 | -1 | | |
| 12-04362 | Faherty v. Morgan Stanley | New York | 12/27/2012 | 03/20/2015 | Y | G | | x | | Rs Win | 3300.5 | 0 | | 0% |
| 12-04364 | Moringlane v. Oriental Financial | San Juan | 12/30/2012 | 06/16/2014 | N | G | x | x | | Rs Win | 350 | 0 | | 0% |
| 13-00001 | Hardesty v. Jurden | PP | 12/21/2012 | 10/04/2013 | Y | G | | | x | Cs Win | 23.2 | 23.2 | BD | 100% |
| 13-00013 | Pawlowski Griffin v. Morgan Stanley | Chicago | 12/21/2012 | 02/26/2014 | Y | D | | | | Rs Win | 434 | 0 | | 0% |
| 13-00043 | Levins v. Morgan Stanley | San Francisco | 12/28/2012 | 03/03/2015 | N | G | x | | | Rs Win | 250 | 0 | | 0% |
| 13-00048 | Eachus v. Ameriprise Financial | Philadelphia | 12/31/2012 | 12/26/2014 | N | G | | x | x | Stipulated | 194 | -1 | | |
| 13-00051 | McAllister v. Freedom Investors | Boston | 12/31/2012 | 09/05/2014 | Y | G | | | x | Stipulated | 0 | -1 | | |

# Report Key


**Securities Arbitration Commentator, Inc.**

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## Abbreviations:

* Required Information Not Provided by the Award

| | |
|---|---|
| BD | Broker-Dealer |
| Bkr | Broker |
| Cmr | Customer |
| Cs | Claimant |
| Rs | Respondent |
| D | All expungements denied or withdrawn |
| G | At least one expungement granted |
| N | Broker Not Named |
| PP | Submitted on papers (noted in the Venue field) |
| Y | Broker Named |

## NOTES:

All dollar figures are rounded to the nearest $100 and divided by $1000. In the "Comp. Dmgs. Claimed" field, "-1" means that non-monetary relief was claimed. In the "Total Amount Awarded" field, "-1" refers to an undisclosed settlement amount in a stipulated Award and the award of non-monetary relief is claimed in other Awards.

In the "Broker Named" field, where either or both named and unnamed brokers requested expungement, we note that fact. Where both named and unnamed brokers requested expungements, and all named brokers were denied expungements but at least one unnamed broker was granted such relief, or all unnamed brokers were denied expungement but at least one named broker was granted such relief, we indicate the denial (D) next to the letter indicating the category of brokers (N or Y) who were so denied (e.g., "N Y-D"). Where only the broker-dealer requested expungement, we indicate that fact by "BD only;" in all of those cases, the broker-dealer was named.

In the "Who Wins/Stipulated" field, "Cs Win" means that the claimant recovered an award of damages or equitable relief, "Rs Win" means that he or she did not and "Stipulated" means that the Award was the result of a settlement.

"Comp. Dmgs. Claimed" (Compensatory Damages Claimed) and "Total Amount Awarded" (all damages awarded to the customer) are only reported for customer claims in Awards granting expungement requests.

"Who Paid" is limited to Awards containing customer claims (asserted either as a primary claim or as a counterclaim to an industry-initiated claim) and identifies whether one or more broker-dealers, one or more brokers or one or more customers are liable for damages. Amounts are included for broker-dealers or brokers who are liable for less than the total amount awarded. If a broker was liable, but received an expungement recommendation anyway, we add "(G)" after "Bkr;" otherwise, the liable parties either did not request expungement or were denied relief.

"Recovery Rate" is calculated by dividing the Total Amount Awarded by the Comp. Dmgs. Claimed. Where the rate is not calculable, the field is left blank.

## Expungement Requests in Customer-Initiated Arbitrations Filed 1/1/13-5/3

Sorted by: Docket #

**Securities Arbitration Commentator, Inc.**
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| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-00033 | Phone Sales v. Wells Fargo | Philadelphia | 1/4/2013 | 12/16/2013 | N | D | | | | Cs Win | * | 10 | BD | |
| 13-00034 | Shannon v. Wells Fargo | Boston | 1/3/2013 | 11/6/2013 | N | G | | x | | Rs Win | 143.7 | 0 | | 0% |
| 13-00041 | Kerr v. John Thomas Financial | New Orleans | 1/3/2013 | 8/5/2014 | Y | D | | | | Cs Win | 850 | 919.7 | BD, Bkr | 108% |
| 13-00049 | Cutter v. Arana | Boston | 1/4/2013 | 4/9/2014 | Y | D | | | | Rs Win | 80 | 0 | | 0% |
| 13-00061 | Helder v. Wells Fargo | Detroit | 1/3/2013 | 3/30/2015 | Y | G | x | x | x | Stipulated | 1687.4 | -1 | | |
| 13-00067 | Maine v. Raymond James | PP | 1/4/2013 | 10/8/2013 | Y | D | | | | Rs Win | 34 | 0 | | 0% |
| 13-00070 | Pilnick v. Raymond James | Boca Raton | 1/4/2013 | 10/27/2014 | Y | G | | x | | Rs Win | 500.2 | 0 | | 0% |
| 13-00114 | Nielson v. Wells Fargo | Baltimore | 1/7/2013 | 10/15/2014 | N | G | x | x | | Stipulated | 132 | -1 | | |
| 13-00125 | Mucerino v. Citigroup Global | Newark | 1/11/2013 | 3/14/2014 | Y | G | | x | | Stipulated | 650 | -1 | | |
| 13-00130 | Pinn v. Smolowitz | PP | 1/11/2013 | 9/3/2013 | Y | D | | | | Cs Win | 33.6 | 3.2 | BD, Bkr | 10% |
| 13-00131 | Moroz v. Raymond James | PP | 1/9/2013 | 11/27/2013 | Y | D | | | | Cs Win | 47.4 | 39.8 | BD, Bkr | 84% |
| 13-00137 | Christiansen v. Edward D Jones | Des Moines | 1/11/2013 | 3/3/2014 | N | G | | x | | Stipulated | 200 | -1 | | |
| 13-00138 | Alberts v. Wells Fargo | Milwaukee | 1/11/2013 | 8/25/2014 | N | D | | | | Cs Win | 1360.4 | 195 | BD | 14% |
| 13-00158 | Blakemore v. BBVA Compass | Houston | 1/11/2013 | 7/11/2014 | Y | D | | | | Cs Win | 3193.7 | 122.9 | BD | 4% |
| 13-00164 | Benkendorf v. Dahl | PP | 1/11/2013 | 10/15/2013 | Y | G | x | x | | Rs Win | 24.9 | 0 | | 0% |
| 13-00167 | Aldarondo-Ortiz v. UBS Financial | San Juan | 1/16/2013 | 10/9/2014 | Y | D | | | | Stipulated | 250 | -1 | | |
| 13-00169 | Pordon v. David Lerner | Boca Raton | 1/10/2013 | 1/6/2014 | N | G | | x | | Stipulated | 112 | -1 | | |
| 13-00175 | Thomas v. Clark | Hartford | 1/16/2013 | 8/26/2014 | Y | G | x | | | Stipulated | 800 | -1 | | |
| 13-00185 | Bold v. Merrill Lynch | Orlando | 1/11/2013 | 7/26/2013 | N | G | x | x | | Stipulated | 66 | -1 | | |
| 13-00189 | Herrington v. Morgan Stanley | Minneapolis | 1/3/2013 | 9/2/2014 | N | G | x | x | x | Stipulated | 74.2 | -1 | | |
| 13-00194 | Figge v. Wells Fargo | Denver | 1/18/2013 | 7/11/2014 | N | D | | | | Rs Win | 15000 | 0 | | 0% |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-00196 | Szynkarski v. TD Ameritrade | PP | 1/22/2013 | 11/8/2013 | Y | G | x | | | Rs Win | 36 | 0 | | 0% |
| 13-00212 | Humpage v. RBC Capital | Phoenix | 1/17/2013 | 1/6/2015 | N | G | x | x | x | Rs Win | 410.1 | 0 | | 0% |
| 13-00213 | Loprieato v. Wells Fargo | San Francisco | 1/17/2013 | 4/29/2014 | N | G | x | x | | Stipulated | 200 | -1 | | |
| 13-00217 | Bross v. John Thomas Financial | St. Louis | 1/17/2013 | 5/21/2014 | Y | D | | | | Rs Win | 430 | 0 | | 0% |
| 13-00218 | Rice v. Merrill Lynch | Detroit | 1/17/2013 | 4/23/2015 | N | G | | x | | Stipulated | 300 | -1 | | |
| 13-00223 | Lansdown v. NSM Securities | Miami | 1/19/2013 | 10/8/2014 | Y | D | | | | Cs Win | 86 | 86 | BD | 100% |
| 13-00230 | Theis v. Invest Financial | Minneapolis | 1/24/2013 | 5/15/2014 | N | G | x | x | x | Stipulated | 60 | -1 | | |
| 13-00258 | Smallen v. Berthel Fisher | San Francisco | 1/24/2013 | 2/19/2014 | Y | D | | | | Rs Win | * | 0 | | |
| 13-00264 | Peters v. Ameriprise Financial | New York | 1/28/2013 | 7/24/2014 | N | G | x | x | | Stipulated | * | -1 | | |
| 13-00296 | Vierra v. Walnut Street | San Francisco | 1/25/2013 | 3/10/2014 | Y | G | x | x | | Stipulated | 243 | -1 | | |
| 13-00308 | Lerner v. Citi Personal Wealth | PP | 1/27/2013 | 11/1/2013 | Y | G | | x | | Rs Win | 50 | 0 | | 0% |
| 13-00323 | Kilby v. Diaz | Newark | 1/30/2013 | 11/4/2014 | Y | D | | | | Cs Win | 323.1 | 219.9 | Bkr | 68% |
| 13-00333 | Chase v. Wells Fargo | Los Angeles | 1/27/2013 | 11/6/2014 | Y | D | | | | Cs Win | * | 144.8 | BD, Bkr | |
| 13-00339 | Ingerman v. Citigroup Global | Philadelphia | 1/29/2013 | 9/26/2013 | N | G | x | | | Stipulated | 52 | -1 | | |
| 13-00342 | Siegle v. LPL Financial | San Francisco | 1/29/2013 | 9/30/2014 | N | G | | x | | Stipulated | 338 | -1 | | |
| 13-00364 | Adams v. Banc of America | Las Vegas | 2/5/2013 | 3/17/2015 | Y | G | | x | x | Stipulated | * | -1 | | |
| 13-00366 | Hammel v. Bernthal | San Francisco | 1/31/2013 | 12/8/2014 | Y | D | | | | Cs Win | 504.4 | 182.9 | BD, Bkr | 36% |
| 13-00387 | Blair v. PNC Investments | Cleveland | 2/7/2013 | 5/21/2014 | N | G | x | | x | Stipulated | 50 | -1 | | |
| 13-00395 | Jackson v. Hassell | Los Angeles | 1/28/2013 | 4/4/2014 | Y | G | | | x | Stipulated | 441.4 | -1 | | |
| 13-00415 | Steinlauf v. Capital Analysts | Los Angeles | 2/5/2013 | 8/7/2014 | Y | D | | | | Rs Win | 5000 | 0 | | 0% |
| 13-00430 | Barrelet v. NFP Securities | San Diego | 2/4/2013 | 6/11/2014 | Y | D | | | | Cs Win | 1900 | 1246.2 | BD, Bkr | 66% |
| 13-00452 | Carluco Investments v. Oppenheimer & Company | Boca Raton | 2/12/2013 | 5/2/2014 | N | G | | x | | Stipulated | 450 | -1 | | |
| 13-00463 | Anderson v. Morgan Stanley | Boca Raton | 2/11/2013 | 4/16/2015 | Y | G | x | x | | Rs Win | 50 | 0 | | 0% |
| 13-00468 | Melechdavid Incorporated v. Aegis Capital | Boca Raton | 2/15/2013 | 11/13/2014 | Y | G | x | x | x | Stipulated | 400 | -1 | | |

| | | | | | | | Rule 2080/2130 Findings | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Factually Impossible or Clearly Erroneous | False Claim | Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
| 13-00481 | Bross v. John Thomas Financial | St. Louis | 2/14/2013 | 9/29/2014 | Y | D | | | | Stipulated | 190.7 | -1 | | |
| 13-00484 | Scherock v. Axiom Capital | New York | 2/19/2013 | 11/22/2013 | N | G | | x | | Stipulated | 350 | -1 | | |
| 13-00487 | Gabay v. Obsidian Financial | New York | 2/15/2013 | 8/25/2014 | Y | D | | | | Cs Win | 328.6 | 166.4 | Bkr | 51% |
| 13-00490 | Brodsky v. Macaluso | Raleigh | 2/12/2013 | 8/7/2014 | Y | G | x | | | Stipulated | 34.5 | -1 | | |
| 13-00495 | Tait v. Price | Seattle | 2/18/2013 | 12/10/2014 | Y | D | | | | Stipulated | * | -1 | | |
| 13-00501 | Krinick v. Credit Suisse | New York | 2/20/2013 | 7/11/2014 | N | G | x | | | Stipulated | 743.6 | -1 | | |
| 13-00520 | Zimmelman v. USAA Investment | PP | 2/14/2013 | 2/4/2014 | Y | G | | | x | Rs Win | 1 | 0 | | 0% |
| 13-00532 | Lingo v. Concorde Investment | Los Angeles | 2/14/2013 | 4/16/2014 | BD only | G | x | x | x | Rs Win | 510 | 0 | | 0% |
| 13-00534 | Fitzpatrick v. Ameriprise Financial | Dallas | 2/21/2013 | 2/10/2014 | N | G | x | | | Rs Win | 400 | 0 | | 0% |
| 13-00542 | Boudreau v. UBS Financial | Hartford | 2/25/2013 | 11/6/2014 | N | G | | x | | Stipulated | 750 | -1 | | |
| 13-00545 | Wilson v. Sammons Securities | PP | 2/19/2013 | 8/21/2013 | N | D | | | | Rs Win | 50 | 0 | | 0% |
| 13-00554 | De Peaux v. Stifel Nicolaus | Milwaukee | 2/18/2013 | 6/30/2014 | N | D | | | | Rs Win | 140 | 0 | | 0% |
| 13-00555 | Reichenbach v. Dina | Detroit | 2/18/2013 | 4/24/2015 | Y | D | | | | Rs Win | 117.4 | 0 | | 0% |
| 13-00561 | Dale v. Cappello Capital | Charleston | 2/19/2013 | 5/21/2014 | Y | D | | | | Rs Win | 162.5 | 0 | | 0% |
| 13-00563 | Micoletti v. Debaise | PP | 2/26/2013 | 8/19/2013 | Y | D | | | | Cs Win | 40 | 40 | Bkr | 100% |
| 13-00612 | Edwards v. Western International | Washington | 2/26/2013 | 10/21/2014 | Y | D | | | | Cs Win | * | 100 | BD, Bkr | |
| 13-00639 | Lemon v. Cannella | Denver | 2/28/2013 | 7/9/2014 | Y | D | | | | Rs Win | 1196 | 0 | Cmr | 0% |
| 13-00646 | Goll v. Merrill Lynch | Buffalo | 3/5/2013 | 1/30/2014 | N | G | x | x | | Stipulated | 99 | -1 | | |
| 13-00659 | Llames v. UBS Financial | Phoenix | 3/6/2013 | 10/13/2014 | N | G | x | x | x | Stipulated | 50 | -1 | | |
| 13-00670 | Oladunni v. Wells Fargo | Atlanta | 3/7/2013 | 10/24/2014 | Y | G | x | x | | Stipulated | 18.5 | -1 | | |
| 13-00674 | Piskorz v. JW Korth | Washington | 3/1/2013 | 1/30/2014 | Y | G | x | | x | Stipulated | 100 | -1 | | |
| 13-00715 | Kiley v. Legend Merchant | Cincinnati | 3/6/2013 | 7/1/2014 | Y | D | | | | Rs Win | 25.3 | 0 | | 0% |
| 13-00717 | Malik v. Morgan Stanley | New Orleans | 3/11/2013 | 6/13/2014 | Y | G | | x | x | Rs Win | 65.5 | 0 | Cmr | 0% |
| 13-00718 | Sud Family v. Wells Fargo | Milwaukee | 3/11/2013 | 5/16/2014 | N | G | | x | | Stipulated | * | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-00722 | Salvano v. Morgan Stanley | Philadelphia | 3/5/2013 | 5/30/2014 | N | G | | x | | Stipulated | 50 | -1 | | |
| 13-00723 | Gooley v. Morgan Stanley | PP | 3/5/2013 | 8/8/2013 | N | G | | x | | Rs Win | 40 | 0 | | 0% |
| 13-00727 | Perrine v. Morgan Stanley | Atlanta | 3/7/2013 | 11/19/2014 | N | G | x | x | | Stipulated | 180 | -1 | | |
| 13-00737 | Hachamovitch v. Morgan Stanley | New York | 3/7/2013 | 10/21/2014 | N | G | | x | x | Stipulated | 2700 | -1 | | |
| 13-00740 | Chard v. TFS Securities | Philadelphia | 3/5/2013 | 7/31/2014 | BD only | G | x | | x | Rs Win | 100 | 0 | Cmr | 0% |
| 13-00753 | Cheli v. Stifel Nicolaus | Indianapolis | 3/7/2013 | 1/24/2014 | N | G | | x | | Rs Win | 360.4 | 0 | | 0% |
| 13-00769 | Marriott v. Andrew Garrett | Cleveland | 3/13/2013 | 4/1/2015 | Y | D | | | | Stipulated | * | -1 | | |
| 13-00771 | Tuls v. John Thomas Financial | Omaha | 3/13/2013 | 3/27/2014 | Y | D | | | | Stipulated | 1787.2 | -1 | | |
| 13-00776 | Gilbert v. Morgan Stanley | New York | 3/7/2013 | 3/28/2014 | N | G | | x | | Rs Win | 87.8 | 0 | | 0% |
| 13-00785 | Brown v. D'Agostino | Los Angeles | 3/8/2013 | 6/9/2014 | Y | D | | | | Cs Win | 120 | 4.4 | BD | 4% |
| 13-00792 | Maglio v. SII Investments | Orlando | 3/14/2013 | 8/19/2014 | N | D | | | | Stipulated | 112 | -1 | | |
| 13-00803 | Lowe v. Ameriprise Financial | PP | 3/14/2013 | 10/10/2013 | N | G | | x | | Rs Win | 50 | 0 | | 0% |
| 13-00805 | Furia v. Merrill Lynch | Newark | 3/15/2013 | 10/3/2014 | N | G | | x | | Stipulated | 70 | -1 | | |
| 13-00808 | Vasta v. Wells Fargo | Newark | 3/14/2013 | 10/7/2014 | N | G | | x | | Stipulated | 150 | -1 | | |
| 13-00818 | Voecks v. Morgan Stanley | San Francisco | 3/13/2013 | 12/11/2014 | N | G | | x | | Stipulated | 300 | -1 | | |
| 13-00824 | Barmak v. UBS Financial | San Diego | 3/19/2013 | 4/16/2015 | N | G | x | x | | Stipulated | 350 | -1 | | |
| 13-00829 | Bauries v. Ameriprise Financial | PP | 3/15/2013 | 8/29/2013 | BD only | D | | | | Cs Win | 42 | 25.2 | BD | 60% |
| 13-00853 | Fleischer v. David Lerner | Jacksonville | 3/18/2013 | 10/13/2014 | Y | G | | x | | Stipulated | 250 | -1 | | |
| 13-00878 | Brasfield v. Ameriprise Financial | Birmingham | 3/20/2013 | 6/2/2014 | N | G | x | | | Rs Win | 80 | 0 | | 0% |
| 13-00883 | Mabon v. UBS Financial | New York | 3/25/2013 | 10/10/2013 | N | G | x | | | Stipulated | 25 | -1 | | |
| 13-00888 | Trainor Trucking v. LPL Financial | Chicago | 3/19/2013 | 6/20/2014 | N | G | x | | | Rs Win | 19.1 | 0 | | 0% |
| 13-00891 | Reville v. Mulcahy | New York | 3/19/2013 | 6/25/2014 | Y | D | | | | Cs Win | * | 113.2 | BD, Bkr | |
| 13-00899 | Coe v. Dobranich | Las Vegas | 3/26/2013 | 4/17/2015 | Y | G | | x | | Stipulated | 200 | -1 | | |
| 13-00910 | Goetz v. Lincoln Financial | Boca Raton | 3/20/2013 | 8/19/2014 | Y | G | | x | | Stipulated | 750 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-00911 | Chhabbhaya v. Angulo | Atlanta | 3/25/2013 | 12/5/2014 | Y | D | | | | Rs Win | 400 | 0 | | 0% |
| 13-00921 | Tombari v. UBS Financial | Boca Raton | 3/28/2013 | 12/29/2014 | N | G | | x | | Stipulated | 57 | -1 | | |
| 13-00925 | Chandler v. Faulkner | Portland | 3/27/2013 | 10/29/2013 | Y | G | | | x | Stipulated | 198.2 | -1 | | |
| 13-00938 | Farrington v. LPL Financial | New York | 3/29/2013 | 3/10/2015 | Y | D | | | | Rs Win | 1503.2 | 0 | | 0% |
| 13-00939 | Knoll v. Edward D Jones | PP | 3/27/2013 | 9/25/2013 | Y | D | | | | Cs Win | 43.8 | 19 | BD, Bkr | 43% |
| 13-00950 | Johnston v. Calton | Phoenix | 3/29/2013 | 3/6/2014 | Y | G | | x | x | Rs Win | * | 0 | | |
| 13-00955 | Witzel v. American Portfolio | Minneapolis | 3/28/2013 | 10/29/2014 | N | G | x | | | Stipulated | 400 | -1 | | |
| 13-00969 | Prignano v. T Rowe Price | Denver | 4/3/2013 | 7/21/2014 | Y | G | x | x | x | Rs Win | * | 0 | Cmr | |
| 13-00976 | Carlton v. Morgan | San Francisco | 4/1/2013 | 12/10/2013 | Y | G | | x | x | Rs Win | 25 | 0 | | 0% |
| 13-00982 | Allan v. Ameriprise Financial | PP | 4/2/2013 | 1/14/2014 | N | D | | | | Cs Win | 50 | 10.8 | BD | 22% |
| 13-01004 | Abboud v. Merrill Lynch | Philadelphia | 4/8/2013 | 7/11/2014 | N | G | | | x | Stipulated | 174.6 | -1 | | |
| 13-01024 | Vollmer v. Genesis Capital | Los Angeles | 4/8/2013 | 3/19/2015 | Y | G | x | x | | Stipulated | * | -1 | | |
| 13-01026 | Riker v. Morgan Stanley | Orlando | 4/5/2013 | 10/14/2014 | N | G | x | x | | Stipulated | 73 | -1 | | |
| 13-01039 | Frey v. Achurra | Las Vegas | 4/9/2013 | 8/28/2014 | Y | D | | | | Cs Win | 1204.2 | 731 | BD | 61% |
| 13-01087 | McNamara v. Ameriprise Financial | Austin | 4/12/2013 | 12/12/2014 | Y | D | | | | Cs Win | 63.2 | 127.5 | BD, Bkr | 202% |
| 13-01119 | South v. Wallace | Cleveland | 4/11/2013 | 8/12/2014 | Y | D | | | | Rs Win | 25 | 0 | | 0% |
| 13-01125 | Gerstman v. UBS Financial | Newark | 4/19/2013 | 2/10/2015 | N | G | | | x | Stipulated | 500 | -1 | | |
| 13-01134 | Coles v. Alterna Capital | Orlando | 4/18/2013 | 12/2/2014 | Y | G | | x | | Stipulated | 1400 | -1 | | |
| 13-01135 | Hansen v. LPL Financial | San Francisco | 4/18/2013 | 7/22/2014 | N | G | | | x | Stipulated | 1027.3 | -1 | | |
| 13-01167 | Pelican Holdings v. Vanguard Marketing | Houston | 4/16/2013 | 8/13/2014 | Y | G | x | x | | Stipulated | 846.3 | -1 | | |
| 13-01176 | Stunkart v. Edward D Jones | PP | 4/24/2013 | 12/11/2013 | N | D | | | | Rs Win | 9.8 | 0 | | 0% |
| 13-01207 | Wick v. UBS Financial | Phoenix | 4/26/2013 | 3/16/2015 | N | G | | | x | Stipulated | 200 | -1 | | |
| 13-01223 | Akpele v. Oppenheimer & Company | Atlanta | 4/29/2013 | 6/25/2014 | Y | D | | | | Rs Win | 2370.5 | 0 | | 0% |
| 13-01227 | Shaw v. UBS Financial | Boca Raton | 4/26/2013 | 5/22/2015 | N | G | | | x | Stipulated | 350 | -1 | | |
| 13-01237 | Wamba v. Morgan Stanley | New York | 4/29/2013 | 7/25/2014 | N | G | | | x | Stipulated | 75 | -1 | | |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-01247 | Bilinsky v. Morgan Stanley | New York | 5/1/2013 | 12/31/2014 | Y | G | x | | | Rs Win | 150 | 0 | | 0% |
| 13-01248 | Maloof v. UBS Financial | Boston | 5/1/2013 | 8/8/2014 | N | G | x | | | Stipulated | 1000 | -1 | | |
| 13-01254 | Ritter v. Wells Fargo | New York | 5/2/2013 | 12/11/2013 | N Y | G | x | x | | Stipulated | 882.6 | -1 | | |
| 13-01284 | Foege v. Allen & Company | Orlando | 5/3/2013 | 10/15/2013 | N | G | | | x | Stipulated | 30 | -1 | | |
| 13-01311 | Franklin v. Ahmed | Denver | 5/7/2013 | 1/13/2015 | Y | D | | | | Stipulated | 250 | -1 | | |
| 13-01323 | Manoogian v. Karas | San Francisco | 5/1/2013 | 10/15/2014 | Y | G | | x | | Stipulated | 100 | -1 | | |
| 13-01361 | Mc Evoy v. Belesis | New York | 5/8/2013 | 11/4/2014 | Y | D | | | | Cs Win | 48.8 | 24.4 | BD, Bkr | 50% |
| 13-01404 | Duncan v. Brennan | Denver | 5/13/2013 | 12/27/2013 | Y | D | | | | Rs Win | 300 | 0 | | 0% |
| 13-01413 | Vaughn v. Wells Fargo | Atlanta | 5/9/2013 | 8/7/2014 | N | G | x | | x | Rs Win | 750 | 0 | | 0% |
| 13-01430 | Singer v. TR Winston | San Diego | 5/14/2013 | 12/16/2014 | Y | G | | x | | Stipulated | 705 | -1 | | |
| 13-01434 | Miller v. Morgan Stanley | Pittsburgh | 5/16/2013 | 4/14/2014 | Y | G | | x | | Rs Win | 87.8 | 0 | | 0% |
| 13-01436 | Hamaker v. Graunke | Orlando | 5/13/2013 | 7/30/2014 | Y | G | x | x | | Stipulated | 84.5 | -1 | | |
| 13-01467 | Pan v. Marino | PP | 5/14/2013 | 4/2/2014 | Y | G | | x | | Rs Win | 4 | 0 | | 0% |
| 13-01507 | Zourdos v. Ridgeway & Conger | Syracuse | 5/22/2013 | 5/15/2015 | BD only | D | | | | Cs Win | 551.4 | 258 | BD | 47% |
| 13-01514 | Simmons v. Vinson | Charlotte | 5/16/2013 | 4/17/2014 | Y | G | | x | | Rs Win | 28.3 | 0 | | 0% |
| 13-01522 | Liebhaber v. Royal Alliance | Los Angeles | 5/23/2013 | 9/10/2014 | N | G | x | x | | Stipulated | 325 | -1 | | |
| 13-01542 | Ross v. David Lerner | New York | 5/23/2013 | 3/23/2015 | Y | G | x | | x | Stipulated | 92.2 | -1 | | |
| 13-01544 | Steinlauf v. Fidelity Brokerage | Boca Raton | 5/23/2013 | 2/26/2015 | Y | G | x | | | Rs Win | 189 | 0 | | 0% |
| 13-01545 | Kirby v. Morgan Stanley | Columbia | 5/21/2013 | 7/16/2014 | N | G | x | x | | Stipulated | 100 | -1 | | |
| 13-01564 | Kealy v. MML Investors | New York | 5/21/2013 | 2/9/2015 | Y | G | | x | | Stipulated | 100 | -1 | | |
| 13-01572 | Gardner v. UBS Financial | Los Angeles | 5/28/2013 | 4/23/2015 | N | G | | | x | Stipulated | 1200 | -1 | | |
| 13-01578 | Slyter v. Kempf | Seattle | 5/23/2013 | 4/7/2015 | Y | D | | | | Cs Win | 920 | 201.5 | BD | 22% |
| 13-01586 | Seabrook v. David Lerner | New York | 5/24/2013 | 9/22/2014 | Y | G | x | x | x | Stipulated | * | -1 | | |
| 13-01595 | Hager v. David Lerner | Columbia | 5/24/2013 | 3/27/2015 | Y | G | | x | | Stipulated | 519.9 | -1 | | |
| 13-01603 | Relf v. Advanced Equities | Houston | 5/30/2013 | 10/28/2014 | Y | G | | | x | Stipulated | 750 | -1 | | |
| 13-01619 | Liotta v. Cetera Advisors | San Francisco | 5/28/2013 | 6/24/2014 | Y | G | x | x | | Stipulated | 70 | -1 | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-01653 | Grinberg v. LPL Financial | PP | 6/3/2013 | 3/13/2014 | Y | D | | | | Rs Win | 48 | 0 | | 0% |
| 13-01667 | Frencl v. Wells Fargo | Louisville | 5/28/2013 | 2/10/2015 | N | G | x | x | | Stipulated | * | -1 | | |
| 13-01669 | Frank v. UBS Financial | Houston | 5/31/2013 | 1/24/2014 | N | G | x | | x | Stipulated | 35.9 | -1 | | |
| 13-01677 | Delaney v. Morgan Stanley | New York | 6/4/2013 | 12/1/2014 | Y | D | | | | Cs Win | 69.8 | 69.8 | BD, Bkr | 100% |
| 13-01678 | Barry v. Merrill Lynch | Boca Raton | 5/31/2013 | 3/25/2015 | N | G | | x | | Stipulated | 800 | -1 | | |
| 13-01693 | Halliwell v. Nationwide Investment | New York | 6/7/2013 | 9/17/2014 | Y | D | | | | Rs Win | 84.8 | 0 | | 0% |
| 13-01707 | Frankel v. Wells Fargo | Philadelphia | 6/10/2013 | 5/30/2014 | N | G | | x | | Stipulated | 30 | -1 | | |
| 13-01740 | Miyahara v. Ameriprise Financial | Honolulu | 6/11/2013 | 8/20/2014 | Y | D | | | | Cs Win | 15 | 15 | BD, Bkr | 100% |
| 13-01749 | Saadeh v. Fidelity Brokerage | San Francisco | 6/12/2013 | 5/21/2014 | N | G | | x | | Rs Win | 150.2 | 0 | | 0% |
| 13-01756 | Oaklief v. Brady | Phoenix | 6/13/2013 | 3/28/2014 | Y | D | | | | Cs Win | 96.9 | 61.5 | BD | 63% |
| 13-01771 | Brendel v. Merrill Lynch | Philadelphia | 6/14/2013 | 10/29/2014 | Y | G | | x | | Stipulated | 162 | -1 | | |
| 13-01775 | Schechter v. Wells Fargo | Philadelphia | 6/12/2013 | 1/16/2015 | Y | G | x | | | Stipulated | 192.5 | -1 | | |
| 13-01777 | Keryluk v. Ameriprise Financial | Orlando | 6/25/2013 | 1/14/2015 | N | G | | x | | Stipulated | 150 | -1 | | |
| 13-01789 | Opilowsky v. Merrill Lynch | Phoenix | 6/12/2013 | 2/11/2015 | N | G | x | x | | Stipulated | 750 | -1 | | |
| 13-01790 | Davis v. Wells Fargo | Chicago | 6/12/2013 | 3/24/2015 | N | G | x | | | Stipulated | 4000 | -1 | | |
| 13-01793 | Bosch v. Banc of America | Newark | 6/12/2013 | 7/25/2014 | N | G | | x | | Stipulated | * | -1 | | |
| 13-01805 | Regna v. UBS Financial | Newark | 6/18/2013 | 9/11/2014 | N | G | x | x | x | Stipulated | 950 | -1 | | |
| 13-01806 | Harbour v. UBS Financial | New York | 6/18/2013 | 5/12/2015 | N | G | x | x | | Stipulated | 350 | -1 | | |
| 13-01817 | Sadie's Surprise v. UBS Financial | Boca Raton | 6/12/2013 | 2/20/2015 | N | G | x | x | | Stipulated | 65 | -1 | | |
| 13-01824 | Carson v. Charles Schwab | Helena | 6/18/2013 | 11/13/2014 | N | G | | x | | Stipulated | 192.1 | -1 | | |
| 13-01827 | Medellin v. Ameritas Investment | Houston | 6/17/2013 | 1/27/2015 | Y | D | | | | Cs Win | 342 | 17.5 | Bkr | 5% |
| 13-01837 | Fry v. First Clearing | Los Angeles | 6/18/2013 | 1/2/2015 | Y | D | | | | Cs Win | 1701.4 | 4525.1 | BD, Bkr | 266% |
| 13-01872 | Hereford Securities v. Charles Morgan | Omaha | 6/20/2013 | 12/12/2014 | Y | G | | x | | Rs Win | 112.4 | 0 | | 0% |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-01876 | Parker v. Interactive Brokers | Houston | 6/25/2013 | 4/28/2015 | N | D | | | | Cs Win | 1366.8 | 1209.7 | BD | 89% |
| 13-01890 | Rao v. Angulo | Los Angeles | 6/18/2013 | 9/22/2014 | Y | D | | | | Cs Win | 131.8 | 128 | BD, Bkr | 97% |
| 13-01903 | Artuso v. UBS Financial | Cleveland | 6/27/2013 | 10/29/2014 | N | G | | x | | Stipulated | 375 | -1 | | |
| 13-01930 | Cooper v. Investors Capital | PP | 6/26/2013 | 12/11/2013 | Y | D | | | | Cs Win | 14.8 | 14.8 | BD, Bkr | 100% |
| 13-01951 | Cabbil v. Resource Horizons | Birmingham | 6/27/2013 | 10/8/2014 | Y | G | | | x | Cs Win | 592 | 355.3 | BD | 60% |
| 13-01964 | Matherne v. Merrill Lynch | New Orleans | 6/26/2013 | 3/4/2015 | N | G | x | | | Stipulated | 200 | -1 | | |
| 13-01974 | Battel v. Benetech Incorporated | San Francisco | 7/1/2013 | 10/8/2014 | Y | G | | x | | Stipulated | * | -1 | | |
| 13-01983 | Ochs v. Ameriprise Financial | PP | 7/8/2013 | 3/27/2014 | N | G | x | x | | Rs Win | 22.4 | 0 | | 0% |
| 13-02039 | Levine v. Kally | Los Angeles | 7/2/2013 | 6/19/2014 | Y | G | | x | | Rs Win | 93.3 | 0 | | 0% |
| 13-02081 | Berry v. Wells Fargo | New York | 7/15/2013 | 8/13/2014 | N | G | | x | | Stipulated | 300 | -1 | | |
| 13-02089 | Osborne v. UBS Financial | Chicago | 7/15/2013 | 12/4/2014 | N | G | x | | | Stipulated | 96.1 | -1 | | |
| 13-02097 | Barnes v. Raymond James | PP | 7/17/2013 | 3/13/2014 | N | D | | | | Cs Win | 50 | 13.8 | BD | 28% |
| 13-02146 | Weiss v. Fass | New York | 7/23/2013 | 2/24/2015 | Y | G | | x | x | Rs Win | 100.6 | 0 | | 0% |
| 13-02163 | Campbell v. Tompkins | Philadelphia | 7/23/2013 | 8/19/2014 | Y | G | | x | | Rs Win | 14.8 | 0 | | 0% |
| 13-02180 | Shaw v. Wells Fargo | Pittsburgh | 7/23/2013 | 10/20/2014 | Y | D | | | | Rs Win | 52.3 | 0 | | 0% |
| 13-02193 | Greene v. Wells Fargo | Albuquerque | 7/22/2013 | 11/12/2014 | N | G | | x | | Stipulated | 135 | -1 | | |
| 13-02201 | Steinman v. Merrill Lynch | PP | 7/25/2013 | 3/26/2014 | N | G | | x | | Rs Win | 8.9 | 0 | | 0% |
| 13-02209 | Humphries v. Cortese | San Francisco | 7/29/2013 | 10/3/2014 | Y | G | | | x | Stipulated | 1000 | -1 | | |
| 13-02221 | Schwartz v. UBS Financial | Phoenix | 7/31/2013 | 1/20/2015 | N | G | | x | x | Stipulated | 80 | -1 | | |
| 13-02247 | Novak v. Ameriprise Financial | Cleveland | 8/1/2013 | 1/15/2015 | N | D | | | | Stipulated | 70 | -1 | | |
| 13-02251 | Bradley v. Ennis | Philadelphia | 7/31/2013 | 1/5/2015 | Y | G | | x | | Rs Win | 1000 | 0 | | 0% |
| 13-02257 | Clarke v. UBS Financial | Chicago | 7/25/2013 | 4/2/2015 | N | D | | | | Rs Win | 330 | 0 | | 0% |
| 13-02279 | Steelman v. Stockcross Financial | Los Angeles | 7/31/2013 | 3/14/2014 | Y | G | x | x | | Stipulated | 50 | -1 | | |
| 13-02291 | Looney v. Morgan Keegan | Birmingham | 8/1/2013 | 4/28/2015 | N | D | | | | Rs Win | 316.2 | 0 | | 0% |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-02319 | Torre v. RBC Capital | Tampa | 8/7/2013 | 2/17/2015 | N | D | | | | Rs Win | 500 | 0 | | 0% |
| 13-02321 | Miranda v. Maxey | Denver | 8/8/2013 | 11/13/2014 | Y | D | | | | Cs Win | 500 | 273.1 | BD, Bkr | 55% |
| 13-02324 | East Boston v. Detwiler Fenton | Boston | 8/9/2013 | 8/13/2014 | Y | G | x | | x | Stipulated | 33 | -1 | | |
| 13-02355 | Muratore v. Crown Capital | Los Angeles | 8/6/2013 | 3/3/2015 | N | G | x | x | x | Stipulated | 1000 | -1 | | |
| 13-02367 | Bee v. UBS Financial | New Orleans | 8/13/2013 | 11/11/2014 | Y | G | | x | | Stipulated | * | -1 | | |
| 13-02375 | Parsons v. Bunton | PP | 8/13/2013 | 2/19/2014 | Y | D | | | | Cs Win | 49.3 | 34.4 | BD, Bkr | 70% |
| 13-02381 | Rose v. UBS Financial | Los Angeles | 8/14/2013 | 2/20/2015 | N | D | | | | Stipulated | 1200 | -1 | | |
| 13-02390 | McCorquodale v. AXA Advisors | Houston | 8/15/2013 | 5/15/2015 | Y | D | | | | Cs Win | 1998.9 | 1172 | Bkr | 59% |
| 13-02402 | Mesimer v. Carson | PP | 8/12/2013 | 3/5/2014 | Y | D | | | | Cs Win | 50 | 20 | BD, Bkr | 40% |
| 13-02405 | Scott v. Wook Park | Los Angeles | 8/1/2013 | 12/3/2014 | Y | D | | | | Rs Win | 1000 | 0 | | 0% |
| 13-02434 | Miller v. Citigroup Global | Portland | 8/14/2013 | 10/21/2014 | Y | G | | x | | Rs Win | 175.9 | 0 | | 0% |
| 13-02455 | Lazzopina v. LPL Financial | Boca Raton | 8/21/2013 | 7/31/2014 | Y | D | | | | Stipulated | 100 | -1 | | |
| 13-02461 | JT & JT Enterprises v. Sunset Financial | Houston | 8/20/2013 | 3/13/2015 | N | D | | | | Rs Win | 4963.6 | 0 | | 0% |
| 13-02468 | Gardner v. Wells Fargo | Charlotte | 8/24/2013 | 3/27/2015 | N | G | | | x | Stipulated | 50 | -1 | | |
| 13-02469 | Buonopane v. Atteo | Manchester | 8/22/2013 | 5/7/2015 | Y | D | | | | Rs Win | 166.6 | 0 | | 0% |
| 13-02477 | Neimann v. Wells Fargo | Los Angeles | 8/20/2013 | 5/14/2014 | N | G | | x | | Rs Win | 1500 | 0 | | 0% |
| 13-02486 | Frank v. Syde | Minneapolis | 8/19/2013 | 8/22/2014 | Y | G | x | x | x | Rs Win | 100 | 0 | | 0% |
| 13-02491 | Waller v. Kloke | PP | 8/26/2013 | 3/13/2014 | Y | D | | | | Cs Win | 50 | 10 | Bkr | 20% |
| 13-02492 | Schirow v. Edward D Jones | PP | 8/22/2013 | 5/20/2014 | N | G | | x | | Rs Win | 25 | 0 | | 0% |
| 13-02526 | Whang v. Woodbury Financial | Chicago | 8/27/2013 | 10/21/2014 | Y | D | | | | Stipulated | 500 | -1 | | |
| 13-02530 | Stone v. Morgan Stanley | Columbia | 8/22/2013 | 1/29/2015 | N | G | x | x | | Stipulated | 18.3 | -1 | | |
| 13-02531 | Cahn v. RBC Capital | PP | 8/22/2013 | 6/3/2014 | N | G | x | x | | Rs Win | 50 | 0 | | 0% |
| 13-02537 | Hall v. Altheide | Los Angeles | 8/26/2013 | 10/1/2014 | Y | D | | | | Stipulated | 56.9 | -1 | | |
| 13-02540 | Abel v. Brookville Capital | New York | 8/29/2013 | 5/28/2015 | Y | D | | | | Cs Win | 647.1 | 2692.3 | BD, Bkr | 416% |
| 13-02580 | Pennfield v. UBS Financial | New York | 8/30/2013 | 5/22/2015 | N | G | | x | | Rs Win | 103.3 | 0 | | 0% |
| 13-02588 | Wood v. Brookville Capital | Little Rock | 8/30/2013 | 3/12/2014 | Y | G | | x | | Stipulated | 200 | -1 | | |
| 13-02590 | Greene v. Edward D Jones | Helena | 8/29/2013 | 10/1/2014 | N | G | x | x | | Stipulated | 70 | -1 | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-02591 | Fox v. Charles Schwab | Seattle | 8/30/2013 | 2/13/2015 | N | D | | | | Rs Win | 150 | 0 | | 0% |
| 13-02598 | Kinlaw v. LPL Financial | Raleigh | 9/5/2013 | 7/16/2014 | N | G | | | x | Stipulated | 250 | -1 | | |
| 13-02608 | Olson v. Matrix Capital | Newark | 9/3/2013 | 8/27/2014 | Y | D | | | | Cs Win | 36.9 | 31 | BD, Bkr | 84% |
| 13-02616 | Nelson v. Next Financial | Manchester | 8/30/2013 | 11/25/2014 | Y | G | | x | | Stipulated | 502.7 | -1 | | |
| 13-02618 | Casillas v. Wells Fargo | Boca Raton | 8/30/2013 | 10/15/2014 | N | G | x | x | | Stipulated | 42 | -1 | | |
| 13-02622 | HSH Family Trust v. Wells Fargo | Los Angeles | 9/3/2013 | 5/27/2015 | N | G | | x | | Stipulated | 150 | -1 | | |
| 13-02640 | Branscombe v. Wells Fargo | Manchester | 9/4/2013 | 10/28/2014 | N | G | x | x | x | Stipulated | 700 | -1 | | |
| 13-02663 | Kwon v. Audette | Los Angeles | 10/30/2013 | 12/12/2014 | Y | G | x | x | x | Rs Win | 58080 | 0 | | 0% |
| 13-02687 | Rawat v. UBS Financial | Denver | 9/13/2013 | 3/24/2015 | N | G | | | x | Stipulated | 400 | -1 | | |
| 13-02694 | Grabania v. JP Turner | Philadelphia | 9/12/2013 | 1/21/2015 | N | G | x | | | Stipulated | 400 | -1 | | |
| 13-02736 | Sushel v. Ameriprise Financial | PP | 9/13/2013 | 3/12/2014 | Y | D | | | | Cs Win | 50 | 31.9 | BD, Bkr | 64% |
| 13-02739 | Kraus v. Dominguez | Atlanta | 9/16/2013 | 2/2/2015 | Y | G | x | | | Stipulated | 257 | -1 | | |
| 13-02749 | Kinard v. Citigroup Global | Tampa | 9/18/2013 | 5/22/2015 | N | G | | | x | Stipulated | 170.7 | -1 | | |
| 13-02750 | Ishii v. Chan | San Francisco | 9/20/2013 | 4/9/2015 | Y | D | | | | Cs Win | 47 | 6 | BD, Bkr | 13% |
| 13-02754 | Del Real v. Wells Fargo | San Francisco | 9/19/2013 | 2/23/2015 | N | D | | | | Stipulated | * | -1 | | |
| 13-02757 | Jacobs v. E*Trade Securities | Newark | 9/23/2013 | 1/15/2015 | N | G | | | x | Stipulated | * | -1 | | |
| 13-02773 | Cosper v. UBS Financial | Dallas | 9/23/2013 | 3/3/2015 | Y | D | | | | Rs Win | 500 | 0 | | 0% |
| 13-02775 | Van Huss v. Edward Jones | Dallas | 9/24/2013 | 4/1/2015 | N | G | | x | | Stipulated | * | -1 | | |
| 13-02776 | Wood v. UBS Financial | Boston | 9/25/2013 | 12/4/2014 | Y | D | | | | Rs Win | 17 | 0 | | 0% |
| 13-02784 | Polakoff v. Raymond James | Boca Raton | 9/20/2013 | 11/18/2014 | Y | G | | | x | Rs Win | 259.7 | 0 | | 0% |
| 13-02802 | Seidler v. Crown Capital | Los Angeles | 9/24/2013 | 9/10/2014 | Y | G | x | | | Stipulated | 148 | -1 | | |
| 13-02812 | Dorrance v. Clements | PP | 9/23/2013 | 6/11/2014 | Y | G | x | | | Rs Win | 13.2 | 0 | | 0% |
| 13-02821 | Robertson v. Wells Fargo | Houston | 9/23/2013 | 1/26/2015 | N | D | | | | Stipulated | 500 | -1 | | |
| 13-02831 | Mayzell v. Morgan Stanley | Boca Raton | 9/27/2013 | 5/26/2015 | Y | G | x | x | | Stipulated | 1000 | -1 | | |
| 13-02837 | Hunter v. Raymond James | Cincinnati | 9/20/2013 | 3/17/2015 | Y | D | | | | Cs Win | 1387.5 | 165.1 | BD | 12% |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-02888 | Kraynak v. Charles Schwab | Los Angeles | 9/30/2013 | 3/25/2015 | N | G | x | x | x | Rs Win | 113.6 | 0 | | 0% |
| 13-02907 | Madris v. Merrill Lynch | Miami | 9/30/2013 | 7/8/2014 | N | G | x | x | | Stipulated | 500 | -1 | | |
| 13-02910 | Blevins v. Wells Fargo | PP | 10/5/2013 | 4/25/2014 | Y | D | | | | Cs Win | 11.3 | 1.8 | BD | 16% |
| 13-02924 | Smith v. Centaurus Financial | Los Angeles | 10/4/2013 | 5/26/2015 | Y | D | | | | Cs Win | 1000.9 | 914.7 | BD, Bkr | 91% |
| 13-02937 | Pajestka v. Ameriprise Financial | PP | 10/4/2013 | 8/5/2014 | BD only | D | | | | Cs Win | 32.9 | 17.4 | BD | 53% |
| 13-02941 | Hartung v. Merrill Lynch | Orlando | 10/3/2013 | 9/18/2014 | N | G | | x | | Stipulated | 300 | -1 | | |
| 13-02961 | Rivard v. UBS Financial | Tampa | 10/7/2013 | 6/30/2014 | N | D | | | | Rs Win | 100 | 0 | | 0% |
| 13-02972 | Batalion v. UBS Financial | Albany | 10/8/2013 | 6/16/2014 | N | G | x | | | Stipulated | 100 | -1 | | |
| 13-02973 | Lissy v. UBS Financial | PP | 10/8/2013 | 7/3/2014 | Y | D | | | | Rs Win | 50 | 0 | | 0% |
| 13-03003 | Bahat v. Unionbanc Investment | Los Angeles | 10/11/2013 | 8/28/2014 | N | G | | x | | Stipulated | 30 | -1 | | |
| 13-03009 | Bauman v. Wells Fargo | PP | 10/10/2013 | 5/1/2014 | N | D | | | | Cs Win | 50 | 50 | BD | 100% |
| 13-03012 | Musser v. Barclays Capital | Boca Raton | 10/15/2013 | 4/7/2015 | N | G | | x | | Stipulated | 500 | -1 | | |
| 13-03019 | Rones v. Stifel Nicolaus | Chicago | 10/10/2013 | 9/8/2014 | N | D | | | | Rs Win | 222.6 | 0 | | 0% |
| 13-03025 | Irizarry v. UBS Financial | PP | 10/14/2013 | 9/25/2014 | Y | G | x | x | x | Stipulated | 50 | -1 | | |
| 13-03027 | Hoeflich v. Sigma Financial | Newark | 10/15/2013 | 6/17/2014 | Y | D | | | | Rs Win | 1520 | 0 | | 0% |
| 13-03039 | Sura v. Fidelity Brokerage | Detroit | 10/13/2013 | 5/22/2015 | N Y | G | x | | x | Stipulated | 184.9 | -1 | | |
| 13-03041 | Bowers v. Commonwealth Financial | PP | 10/17/2013 | 8/8/2014 | Y | G | x | | | Cs Win | 4.5 | 4.5 | BD | 100% |
| 13-03045 | Markowitz v. Morgan Stanley | Newark | 10/17/2013 | 12/4/2014 | Y | D | | | | Rs Win | 5.5 | 0 | | 0% |
| 13-03048 | Bauza v. UBS Financial | Washington | 10/16/2013 | 5/13/2015 | N | D | | | | Cs Win | 399.3 | 200 | BD | 50% |
| 13-03054 | Lewis v. Ameriprise Financial | Philadelphia | 10/13/2013 | 12/30/2014 | Y | G | x | | | Rs Win | 100 | 0 | | 0% |
| 13-03064 | Heck v. Raymond James | PP | 10/14/2013 | 7/24/2014 | Y | D | | | | Rs Win | 11 | 0 | | 0% |
| 13-03068 | Rodriguez v. RBC Capital | Baltimore | 10/18/2013 | 12/4/2014 | N | G | x | | | Rs Win | 267 | 0 | | 0% |

| Docket No. | Short Caption | Venue | Claim Filed | Award Issued | Broker Named | Expunge-ment Granted | Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous | Rule 2080/2130 Findings: False Claim | Rule 2080/2130 Findings: Not Involved | Who Won/ Stipulated | Comp. Dmgs. Claimed | Total Amount Awarded | Who Paid | Recovery Rate |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-03072 | Pradhan v. NSM Securities | PP | 10/15/2013 | 6/30/2014 | Y | D | | | | Rs Win | 29.2 | 0 | | 0% |
| 13-03087 | Krosky v. Citigroup Global | New York | 10/23/2013 | 10/24/2014 | N | G | | x | | Stipulated | 500 | -1 | | |
| 13-03106 | Dodge v. Martz | Rapid City | 10/17/2013 | 10/23/2014 | Y | D | | | | Rs Win | 21.9 | 0 | | 0% |
| 13-03125 | Young v. Success Trade | Baltimore | 10/24/2013 | 11/24/2014 | Y | D | | | | Cs Win | 2711 | 2010 | Bkr | 74% |
| 13-03198 | Roben v. Edward D Jones | PP | 10/28/2013 | 7/2/2014 | Y | D | | | | Cs Win | 2.2 | 0.1 | BD | 5% |
| 13-03203 | Dennis v. Ameriprise Financial | Tampa | 10/31/2013 | 12/29/2014 | N | G | x | x | x | Rs Win | 195.6 | 0 | | 0% |
| 13-03205 | Carson v. GA Repple | Little Rock | 10/30/2013 | 7/24/2014 | Y | G | | x | | Stipulated | 270 | -1 | | |
| 13-03231 | Luttrell v. Bokios | Los Angeles | 10/29/2013 | 2/4/2015 | Y | G | | | x | Stipulated | 158.7 | -1 | | |
| 13-03243 | Anderson v. Citigroup Global | New York | 11/1/2013 | 1/28/2015 | N | G | | x | | Rs Win | 70 | 0 | | 0% |
| 13-03257 | Davison v. UBS Financial | Jacksonville | 10/29/2013 | 1/14/2015 | N | G | | x | | Stipulated | 810 | -1 | | |
| 13-03274 | Franklin v. SagePoint Financial | San Francisco | 11/5/2013 | 3/31/2015 | Y | G | x | x | | Stipulated | 388.1 | -1 | | |
| 13-03282 | JFK Health v. Cain Brothers | Newark | 11/5/2013 | 1/22/2015 | N | G | | x | | Rs Win | 5293.7 | 0 | | 0% |
| 13-03293 | Bonchek v. Newport Coast | New York | 11/6/2013 | 5/29/2015 | Y | D | | | | Cs Win | 410 | 270.8 | Bkr | 66% |
| 13-03337 | Custer v. Sigma Financial | PP | 11/11/2013 | 2/25/2015 | Y | G | | | x | Rs Win | 26.2 | 0 | | 0% |
| 13-03364 | Brooks v. Ameriprise Financial | New York | 11/13/2013 | 12/22/2014 | N | D | | | | Rs Win | * | 0 | | |
| 13-03376 | Newbery v. Stifel Nicolaus | PP | 11/10/2013 | 10/2/2014 | Y | G | | x | | Rs Win | 15.5 | 0 | | 0% |
| 13-03378 | Ricks v. Demaria | PP | 11/19/2013 | 5/30/2014 | Y | D | | | | Rs Win | 0.6 | 0 | | 0% |
| 13-03392 | Taulien v. Morgan Stanley | Chicago | 11/14/2013 | 2/6/2015 | N | G | | x | | Stipulated | 100 | -1 | | |
| 13-03408 | Hake v. Morgan Stanley | Denver | 11/14/2013 | 2/26/2015 | N | G | | x | | Rs Win | 2236.3 | 0 | | 0% |
| 13-03412 | Rosenbloom v. Oppenheimer & Company | Dallas | 11/15/2013 | 5/7/2015 | N | D | | | | Cs Win | 377 | 434.9 | BD | 115% |
| 13-03420 | Tangerman v. Citigroup Global | PP | 11/20/2013 | 2/5/2015 | Y | G | | x | x | Stipulated | 43.4 | -1 | | |
| 13-03482 | Kreimeyer v. Fidelity Brokerage | Orlando | 11/25/2013 | 9/18/2014 | N | G | | x | | Stipulated | 125 | -1 | | |
| 13-03490 | Peterson v. Ameriprise Financial | Tampa | 11/19/2013 | 3/26/2015 | Y | D | | | | Rs Win | 47.3 | 0 | | 0% |
| 13-03514 | Dresnick v. Wells Fargo | Miami | 11/27/2013 | 4/7/2015 | N | G | x | | | Stipulated | 600 | -1 | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 13-03523 | Kannan v. Schmitt | PP | 12/2/2013 | 6/30/2014 | Y | D | | | | Rs Win | 11.5 | 0 | | 0% |
| 13-03539 | Bodnar v. Sagepoint Financial | PP | 11/25/2013 | 10/20/2014 | N | D | | | | Cs Win | 46.6 | 6.1 | BD | 13% |
| 13-03541 | Kurtz v. RBC Capital | Washington | 11/29/2013 | 2/13/2015 | Y | D | | | | Rs Win | 181 | 0 | | 0% |
| 13-03560 | Nagel v. Morgan Stanley | PP | 12/2/2013 | 11/4/2014 | Y | D | | | | Rs Win | 14 | 0 | | 0% |
| 13-03563 | Ratledge v. Spencer Trask | New York | 12/7/2013 | 10/24/2014 | Y | G | | x | | Stipulated | 145.8 | -1 | | |
| 13-03578 | Zachritz v. Huntleigh Securities | St. Louis | 12/5/2013 | 11/25/2014 | BD only | D | | | | Rs Win | 182.9 | 0 | | 0% |
| 13-03589 | Bodnar v. Sagepoint Financial | PP | 11/25/2013 | 10/20/2014 | N | D | | | | Cs Win | 46.6 | 6.1 | BD | 13% |
| 13-03653 | Bodek v. vFinance Investments | New York | 12/13/2013 | 4/10/2015 | Y | D | | | | Stipulated | 2000 | -1 | | |
| 13-03666 | Albanese v. Merrill Lynch | New York | 12/17/2013 | 5/20/2015 | N | D | | | | Cs Win | 461 | 158 | BD | 34% |
| 13-03675 | Bergdahl v. Money Concepts | Chicago | 12/16/2013 | 3/31/2015 | N | G | | x | | Stipulated | 475 | -1 | | |
| 13-03688 | Walia v. UBS Financial | New York | 12/16/2013 | 5/1/2015 | N | G | x | x | | Stipulated | 250 | -1 | | |
| 13-03734 | Behrens v. De Vengoechea | Los Angeles | 12/24/2013 | 5/14/2015 | Y | G | x | x | | Stipulated | * | -1 | | |
| 13-03743 | Nutt v. Fidelity & Guaranty | Detroit | 12/23/2013 | 5/7/2015 | Y | G | | | x | Stipulated | 500 | -1 | | |
| 13-03763 | McDowell v. Capital Financial | PP | 12/24/2013 | 8/15/2014 | BD only | D | | | | Cs Win | 50 | 50 | BD | 100% |
| 13-03767 | Bruck v. Morgan Stanley | Boston | 12/30/2013 | 5/11/2015 | N Y | D | | | | Cs Win | 965 | 253.4 | BD, Bkr | 26% |
| 13-03782 | Bumpus v. Ameriprise Financial | Detroit | 12/24/2013 | 4/15/2015 | Y | G | | x | | Rs Win | 60 | 0 | | 0% |
| 14-00018 | Abel v. Janney Montgomery | New York | 1/3/2014 | 2/23/2015 | Y | G | x | | | Rs Win | 55 | 0 | | 0% |
| 14-00054 | Watt v. Morgan Stanley | Miami | 1/6/2014 | 10/22/2014 | N Y | G | | | x | Stipulated | 158.8 | -1 | | |
| 14-00065 | Nickerson v. Wells Fargo | PP | 1/9/2014 | 8/20/2014 | Y | D | | | | Rs Win | 50 | 0 | | 0% |
| 14-00066 | Brookshire v. Pershing LLC | PP | 1/9/2014 | 9/24/2014 | Y | G | | | x | Rs Win | 2.8 | 0 | | 0% |
| 14-00096 | Hewkin v. Securities America | Portland | 1/9/2014 | 3/24/2015 | N | D | | | | Cs Win | 500 | 667.4 | BD | 133% |
| 14-00113 | Francis v. Darwin | Phoenix | 1/8/2014 | 12/4/2014 | Y | G | | x | x | Rs Win | 24.7 | 0 | | 0% |
| 14-00125 | Finkel v. UBS Financial | Boca Raton | 1/8/2014 | 6/4/2015 | N | G | x | x | | Stipulated | 700 | -1 | | |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 14-00170 | Rosado v. UBS Financial | San Juan | 1/16/2014 | 5/19/2015 | Y | D | | | | Cs Win | 1033.6 | 1000 | BD | 97% |
| 14-00231 | Romano v. Merrill Lynch | New York | 1/16/2014 | 3/24/2015 | N | G | | x | | Stipulated | 100 | -1 | | |
| 14-00298 | Hinchcliff v. NFP Securities | Pittsburgh | 1/28/2014 | 2/20/2015 | Y | G | x | | | Stipulated | 140 | -1 | | |
| 14-00325 | Wirtenberg v. Fidelity Brokerage | Boston | 2/3/2014 | 4/16/2015 | N | G | x | x | x | Stipulated | 524.1 | -1 | | |
| 14-00337 | Fontaine v. Ameriprise Financial | Salt Lake City | 2/4/2014 | 3/20/2015 | Y | G | | x | | Stipulated | 12.7 | -1 | | |
| 14-00360 | Brown v. Cambridge Investment | PP | 1/31/2014 | 7/30/2014 | Y | D | | | | Rs Win | 5 | 0 | | 0% |
| 14-00370 | Dallas v. Ganci | PP | 2/3/2014 | 7/24/2014 | Y | D | | | | Cs Win | 13.3 | 8.2 | Bkr | 62% |
| 14-00373 | Phillips v. Wells Fargo | Boca Raton | 1/31/2014 | 5/4/2015 | N | D | | | | Stipulated | 175 | -1 | | |
| 14-00380 | Paul v. Ameriprise Financial | Pittsburgh | 1/30/2014 | 4/28/2015 | N | G | x | | | Stipulated | 801.5 | -1 | | |
| 14-00386 | Kilbourn v. Summit Brokerage | PP | 2/7/2014 | 1/16/2015 | Y | G | | | x | Cs Win | 2.3 | 2 | BD | 87% |
| 14-00394 | Plavnick v. Morgan Stanley | Baltimore | 2/6/2014 | 2/13/2015 | N | G | | x | | Stipulated | 40 | -1 | | |
| 14-00418 | Aukofer v. Multi-Financial | Washington | 2/7/2014 | 3/16/2015 | Y | G | | x | | Rs Win | 200 | 0 | | 0% |
| 14-00419 | Segarra v. UBS Financial | San Juan | 2/7/2014 | 5/6/2015 | N | G | | x | | Stipulated | 2340.3 | -1 | | |
| 14-00455 | Petrocci v. Wells Fargo | PP | 2/7/2014 | 12/5/2014 | Y | D | | | | Cs Win | 24 | 0.4 | BD, Bkr | 2% |
| 14-00486 | Miller v. Pershing LLC | PP | 2/14/2014 | 10/30/2014 | Y | G | x | | x | Rs Win | 2.9 | 0 | | 0% |
| 14-00502 | Walker v. Barcia | New York | 2/18/2014 | 12/29/2014 | Y | G | | x | | Stipulated | 21.3 | -1 | | |
| 14-00505 | Lubin v. Middlebury Securities | Newark | 2/11/2014 | 5/12/2015 | Y | G | x | x | x | Rs Win | 113.2 | 0 | | 0% |
| 14-00521 | Pulice v. Edward D Jones | Detroit | 2/11/2014 | 3/17/2015 | Y | D | | | | Rs Win | 100 | 0 | | 0% |
| 14-00577 | Thomas v. Ameriprise Financial | Orlando | 2/13/2014 | 4/27/2015 | N | G | | x | | Stipulated | 360.8 | -1 | | |
| 14-00589 | Brown Family Trust v. Ford | PP | 2/20/2014 | 12/11/2014 | Y | D | | | | Rs Win | 25 | 0 | | 0% |
| 14-00635 | Schmidt v. Black | PP | 2/28/2014 | 2/6/2015 | Y | D | | | | Cs Win | 42 | 52.2 | BD, Bkr | 124% |
| 14-00765 | NY Professional Fire Fighters v. Wells Fargo | Albany | 3/10/2014 | 5/19/2015 | Y | G | x | | x | Stipulated | 266 | -1 | | |
| 14-00819 | Gusie v. Dempsey | PP | 3/13/2014 | 10/31/2014 | Y | G | x | x | | Rs Win | 50 | 0 | | 0% |
| 14-00876 | Custer v. Birkinbine | Denver | 3/19/2014 | 6/2/2015 | BD only | D | | | | Rs Win | 25 | 0 | | 0% |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 14-00895 | Springer v. Wells Fargo | PP | 3/18/2014 | 11/5/2014 | Y | D | | | | Rs Win | 21.4 | 0 | | 0% |
| 14-00952 | Dial v. Berthel Fisher | Minneapolis | 3/25/2014 | 4/2/2015 | N | D | | | | Rs Win | 28.5 | 0 | | 0% |
| 14-00996 | Halder v. Edward D Jones | PP | 3/26/2014 | 11/10/2014 | N | G | | x | | Rs Win | 10 | 0 | | 0% |
| 14-01023 | Cufalo v. Almonte | PP | 3/29/2014 | 5/11/2015 | Y | G | x | x | | Rs Win | 8.9 | 0 | | 0% |
| 14-01030 | Madison v. Ameriprise Financial | Portland | 3/26/2014 | 3/10/2015 | N | D | | | | Rs Win | 50 | 0 | | 0% |
| 14-01053 | Macaree v. Blackbook Capital | New York | 4/1/2014 | 12/19/2014 | Y | G | | | x | Stipulated | 52 | -1 | | |
| 14-01081 | Glasby v. Wells Fargo | Boise | 4/2/2014 | 5/29/2015 | N | G | | x | | Stipulated | 50 | -1 | | |
| 14-01083 | Long v. Edward D Jones | Indianapolis | 4/2/2014 | 5/21/2015 | N | D | | | | Stipulated | 200 | -1 | | |
| 14-01213 | Legault v. Barter | Los Angeles | 4/16/2014 | 5/7/2015 | Y | D | | | | Cs Win | 68.4 | 205.2 | BD, Bkr | 300% |
| 14-01243 | Brittenham v. Wells Fargo | Phoenix | 4/21/2014 | 4/17/2015 | Y | G | x | x | | Stipulated | 374.1 | -1 | | |
| 14-01261 | O'Rear v. Citigroup Global | Atlanta | 4/22/2014 | 5/26/2015 | Y | G | x | x | | Rs Win | 1052.7 | 0 | Cmr | 0% |
| 14-01373 | Mullen v. Ameriprise Financial | Newark | 4/29/2014 | 6/2/2015 | Y | G | | x | | Stipulated | * | -1 | | |
| 14-01420 | Hayes v. Crawford | Richmond | 5/6/2014 | 4/22/2015 | Y | D | | | | Cs Win | 300 | 280 | Bkr | 93% |
| 14-01468 | Richardson v. Leone | Salt Lake City | 5/7/2014 | 5/19/2015 | Y | G | x | | x | Cs Win | 700 | 25 | BD | 4% |
| 14-01510 | Durick v. Success Trade | PP | 5/14/2014 | 3/12/2015 | BD only | D | | | | Cs Win | 2.4 | 2.4 | BD | 100% |
| 14-01701 | Anderson v. AG Edwards | PP | 5/30/2014 | 5/21/2015 | Y | G | | x | | Rs Win | 28.6 | 0 | | 0% |
| 14-01702 | Anderson v. AG Edwards | PP | 5/30/2014 | 1/13/2015 | Y | D | | | | Rs Win | 28.7 | 0 | | 0% |
| 14-01767 | Nichols v. Morgan Stanley | Miami | 6/5/2014 | 12/18/2014 | N | G | x | x | | Stipulated | 175.3 | -1 | | |
| 14-01810 | Carpenter v. UBS Financial | Tampa | 6/9/2014 | 4/29/2015 | N | G | | x | x | Stipulated | 300 | -1 | | |
| 14-01859 | Copeland v. Capital Financial | PP | 6/12/2014 | 4/14/2015 | BD only | D | | | | Cs Win | 45 | 31.1 | BD | 69% |
| 14-01908 | Alampi v. Wells Fargo | Pittsburgh | 6/10/2014 | 4/8/2015 | N | G | | | x | Stipulated | 258 | -1 | | |
| 14-02040 | Bennett v. UBS Financial | Philadelphia | 6/24/2014 | 5/4/2015 | N | G | x | x | | Stipulated | 1897 | -1 | | |
| 14-02053 | Collins v. LPL Financial | PP | 6/24/2014 | 4/6/2015 | Y | D | | | | Cs Win | 6.2 | 6.2 | BD, Bkr | 100% |
| 14-02110 | Snyder v. Allred | PP | 7/1/2014 | 5/15/2015 | Y | G | | x | | Rs Win | 20.5 | 0 | | 0% |
| 14-02167 | Ferrer-Pagan v. Battle Hernaiz | PP | 7/10/2014 | 3/18/2015 | Y | D | | | | Cs Win | 50 | 17.5 | BD, Bkr | 35% |
| 14-02184 | Inneo v. Goodrich | PP | 7/5/2014 | 12/22/2014 | Y | G | x | x | | Rs Win | 9 | 0 | | 0% |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 14-02282 | Nielsen v. UBS Financial | Boca Raton | 7/16/2014 | 5/29/2015 | N | G | x | x | | Stipulated | 200 | -1 | | |
| 14-02283 | Burris v. Ameriprise Financial | Tampa | 7/15/2014 | 4/10/2015 | N | G | x | x | | Stipulated | * | -1 | | |
| 14-02596 | Neamon v. Ganci | PP | 8/18/2014 | 5/14/2015 | Y | G | | x | | Rs Win | 15.9 | 0 | | 0% |
| 14-02746 | Darby v. Bhargava | PP | 9/5/2014 | 4/29/2015 | Y | D | | | | Cs Win | 50 | 32.6 | Bkr | 65% |
| 14-02928 | Saxon v. Raymond James | PP | 9/24/2014 | 5/15/2015 | BD only | D | | | | Rs Win | 50 | 0 | | 0% |
| 14-03353 | Thompson v. Edward D Jones | Louisville | 11/3/2014 | 6/1/2015 | Y | D | | | | Rs Win | 48 | 0 | | 0% |
| 14-03546 | Solarsa v. Wells Fargo | Los Angeles | 9/25/2013 | 12/26/2014 | N | G | | | x | Rs Win | 750 | 0 | | 0% |
| 14-03593 | Erickson v. Meyers Associates | PP | 11/24/2014 | 6/3/2015 | Y | D | | | | Rs Win | 22.9 | 0 | | 0% |