

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

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

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

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

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

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

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

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

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

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

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

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19-00386	Philadelphia, PA	02/01/2019	09/09/2019	09/10/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Carl G. Gordinier	AdvisorLaw LLC	NO	NO	1	G	Carl G. Gordinier		Steven T. Stern, Esq.	1
19-00390	Denver, CO	02/01/2019	08/27/2019	08/29/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Ron Allen Zimmermann	HLBS Law	NO	NO	1	G	Ron Allen Zimmermann		Susan M. Thevenet, Esq.	1
19-00402	Manchester, NH	02/05/2019	09/23/2019	10/22/2019	Questar Capital Corporation	Faegre Baker Daniels LLP	Benjamin C. Brayshaw	AdvisorLaw LLC	NO	NO	1	G	Benjamin C. Brayshaw		Linda J. Baer, Esq.	1
19-00411	San Diego, CA	02/06/2019	10/10/2019	11/14/2019	Morgan Stanley DW Incorporated	ISC	Robert Eric Rose	HLBS Law	NO	NO	1	G	Robert Eric Rose		Mark R. Lee	1
19-00412	San Diego, CA	02/05/2019	10/07/2019	10/23/2019	Morgan Stanley & Company LLC	ISC	Robert Eric Rose	HLBS Law	NO	NO/NN	3	G	Robert Eric Rose		Michael E. Rohde, Esq.	1
19-00413	San Diego, CA	02/05/2019	09/06/2019	10/04/2019	Merrill Lynch Pierce Fenner & Smith Incorporated	Bressler Amery & Ross	Robert Eric Rose	HLBS Law	NO	NO	1	G	Robert Eric Rose		Herbert Liberman	1
19-00423	Orlando, FL	02/07/2019	11/01/2019	11/22/2019	Raymond James & Associates Incorporated	ISC	Keith A. Davis	Bruce W. Barnes PA	NO	NO	1	G	Keith A. Davis		John P. Cullem, Esq. - Chair; Lewis Gordon Brewer; Howard A. Baker, Esq.	1
19-00445	Boca Raton, FL	02/08/2019	01/27/2020	02/11/2020	Wells Fargo Clearing Services LLC	ISC	Matthew Aaron Gerst	Stein & Stein	NO	OB	1	G	Matthew Aaron Gerst		Will Murphy, Esq. - Chair; Robert G. Falbisaner; Scott Louis Fishman	1
19-00446	Wilmington, DE	02/08/2019	06/17/2020	06/26/2020	Private Consulting Group Incorporated	No-show	Alan Charles Gottlob	The Gilmore Firm LLC	NO	NN	1	D		Alan Charles Gottlob	Gordon M. Wase, Esq. - Chair; Robert E. Anderson, Esq.; Alan J. Blocher	1
19-00448	New York, NY	02/08/2019	12/17/2019	12/26/2019	Continental Broker-Dealer Corporation	ISC	Joon Han Rhee	Carmel Milazzo & DiChiara	NO	NO	1	G	Joon Han Rhee		William G. Binckes, Esq.	1
19-00451	Des Moines, IA	02/11/2019	09/17/2019	10/01/2019	Robert W. Baird & Company Incorporated	ISC	Russell Gerard Nieland	Wolper Law Firm PA	NO	NO	1	G	Russell Gerard Nieland		Thomas F. Mahoney, Esq.	1
19-00452	St. Louis, MO	02/11/2019	09/12/2019	09/26/2019	LPL Financial LLC	ISC	Mark H. Schlipman	Wolper Law Firm PA	NO	NO	1	G	Mark H. Schlipman		Robert J. Scafuri, Esq.	1
19-00453	Orlando, FL	02/11/2019	10/08/2019	11/21/2019	LPL Financial LLC	ISC	James Robert Caldwell	Wolper Law Firm PA	NO	NO	3	G	James Robert Caldwell		Maurice M. Feller, Esq.	1
19-00454	Baltimore, MD	02/11/2019	09/05/2019	10/02/2019	Hornor Townsend & Kent Incorporated	Leake & Andersson	Mark J. Ring	Wolper Law Firm PA	NO	NO	1	G	Mark J. Ring		Brenda J. Stovall, Esq.	1
19-00456	New York, NY	02/08/2019	08/27/2019	09/09/2019	National Securities Corporation	ISC	Glenn Bryan Hechler	Finkelstein & Feil	NO	NO	1	G	Glenn Bryan Hechler		Howard L. Sobel	1
19-00467	Los Angeles, CA	02/11/2019	09/16/2019	10/16/2019	UBS Financial Services Incorporated	Keesal Young & Logan	Jerald Joseph Halverson; Michael Joseph Winn	Elkins Kalt et al.	NO	NO	2	G	Jerald Joseph Halverson; Michael Joseph Winn		Robert D. Sussin, Esq. - Chair; Richard M. Norman, Esq.; Christine A. Page, Esq.	1
19-00468	Orlando, FL	02/12/2019	11/13/2019	11/29/2019	Wells Fargo Clearing Services LLC	ISC	Michael David Hopkins	Bressler Amery & Ross	NO	NO	2	G	Michael David Hopkins		Stuart K. Furman	1
19-00469	San Juan, PR	02/11/2019	08/13/2019	08/27/2019	UBS Financial Services Incorporated	McConnell Valdes LLC	Sonia Pou	Toro Colon Mullet PSC	NO	NO	1	G	Sonia Pou		Stuart K. Furman	1

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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