

The PIABA Foundation
Exhibit E to Expungement Report

October 15, 2019

	2015	2016	2017	2018	Total
Total Broker-Initiated Expungement Only Cases Filed	59	135	339	545	1078
Total Number of Customer Complaints Broker Requested To Be Expunged	102	300	756	1036	2194
Highest Number of Customer Complaints Requested Expunged In One Case	10	13	24	13	
Total Cases (Three Arbitrators vs. Single Arbitrator)					Total
Three Arbitrator Cases	37	50	46	42	175
Single Arbitrator Cases	22	85	293	503	903
Three Arbitrator Cases- %	63%	37%	14%	8%	
Single Arbitrator Cases- %	37%	63%	86%	92%	
Total Cases (Granted/Denied/Granted In Part)					Total
Expungement Recommendation Granted	55	109	276	444	884
Expungement Recommendation Granted- Three Arbitrator Cases	34	39	41	37	151
Expungement Recommendation Granted- Single Arbitrator Cases	21	70	235	407	733
Expungement Recommendation Granted- %	93%	81%	81%	81%	
Expungement Recommendation Granted- Three Arbitrator Cases - %	92%	78%	89%	88%	
Expungement Recommendation Granted- Single Arbitrator Cases- %	95%	82%	80%	87%	
					Total
Expungement Denials	3	11	32	68	114
Expungement Denials- Three Arbitrator Cases	2	6	3	5	16
Expungement Denials- Single Arbitrator Cases	1	5	29	63	98
Expungement Denials- %	5%	8%	9%	12%	
Expungement Denials- Three Arbitrator Cases-%	5%	12%	7%	12%	
Expungement Denials- Single Arbitrator Cases-%	5%	7%	10%	13%	
					Total
Expungement Granted In Part, Denied In Part	1	15	31	33	80
Expungement Granted In Part, Denied In Part- Three Arbitrator Cases	1	5	2	0	8
Expungement Granted In Part, Denied In Part- Single Arbitrator Cases	0	10	29	33	72
Expungement Granted in Part, Denied In Part - %	2%	11%	9%	6%	
Total Cases (Respondent BD Objected vs. No Objection)					Total
Resp. Objected to Expungement	3	3	5	10	21
Resp. Did Not Object to Expungement	56	132	334	533	1055

Resp. Objected to Expungement- %	5%	2%	1%	2%	
Resp. Did Not Object to Expungement- %	95%	98%	99%	98%	
Expungements Denied When Resp. Objected	1	1	0	5	7
Expungements Granted In Part, Denied In Part When Resp. Objected	0	1	2	0	3
Expungements Denied At Least In Part When Resp. Objected	1	2	2	5	10
Expungements Denied At Least In Part When Resp. Did Not Object	3	24	32	63	122
Expungements Denied At Least in Part When Resp. Objected-%	33%	67%	40%	50%	
Expungements Denied When BD Did Not Object-%	5%	18%	10%	12%	
Percent More Likely To Deny Expungment When BD Objects	660%	372%	418%	417%	
Total Cases (Customer Objected vs. No Objection)					
Customer Objected to Expungement	2	22	54	63	141
Customer Did Not Object/Participate	54	105	273	482	914
Customer Objected to Expungement-%	3%	16%	16%	12%	
Customer Did Not Object/Participate- %	92%	78%	81%	88%	
Expungements Denied When Customer Objected	0	2	9	14	25
Expungements Granted In Part, Denied In Part When Customer Objected	0	6	14	6	26
Expungements Denied At Least In Part When Customer Objected	0	8	23	20	51
Expungements Denied At Least In Part When Customer Did Not Object	3	17	14	61	95
Expungements Denied At Least In Part When Customer Objected- %	0%	36%	43%	32%	
Expungements Denied At Least In Part When Customer Did Not Object- %	6%	16%	5%	13%	
Percent More Likely To Deny Expungment When Customer Objects	0%	225%	831%	244%	
Total Number of Evidentiary Hearing Dates (Per case)	1 Hearing	2 Hearings	3 Hearings	3+ Hearings	Total
	972	88	12	6	1078