EXPUNGEMENT STUDY OF THE PUBLIC INVESTORS ARBITRATION BAR ASSOCIATION[1]

INTRODUCTION

In the context of the securities industry, the term "expungement" refers to the process by which an individual stockbroker licensed through the Financial Industry Regulatory Authority, Inc., ("FINRA") can seek to have removed from his or her public regulatory record maintained through the Central Registration Depository ("CRD") information concerning a complaint or complaints made by investors which arise from the conduct of the broker.[2]

PIABA has undertaken this study of expungement requests in securities arbitration proceedings filed between January 1, 2007 and December 31, 2011, by investors against securities broker/dealers and/or individual brokers. PIABA requested that the Securities Arbitration Commentator ("SAC") search its database for arbitration awards in investor disputes with securities industry members that mention the term "expungement" and to extract from each award and place on spreadsheets specific types of data as requested by PIABA.[3]

The most alarming statistic arising from an analysis of the SAC data is the very high percentage of cases resolved by settlement or stipulated awards in which expungement relief has been granted. For the time period January 1, 2007 through May 17, 2009, expungement was granted in 89% of the cases resolved by stipulated awards or settlement. For the time period

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

2 Broker/dealers that are members of FINRA may also seek expungement of customer complaint information.

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

May 18, 2009 through December 31, 2011, expungement relief was granted in 96.9% of the cases resolved by settlements or stipulated awards.

The data also revealed that one individual associated with a brokerage firm during the Review Period requested expungement relief 40 times, and arbitration panels granted expungement relief to that individual 35 times.

The purposes of PIABA's study include the following:

(1) PIABA has analyzed the data provided by SAC with respect to arbitration awards rendered in cases initiated by investors against broker/dealers and/or brokers for cases filed during the five year time period between January 1, 2007 and December 31, 2011, which mention the term "expungement" to determine whether any trends with respect to expungements can be discerned;

(2) To provide context of the above-described analysis, PIABA provides an overview of the Central Registration Depository ("CRD") system, Notices to Members issued by the National Association of Securities Dealers, Inc. ("NASD"), Regulatory Notices issued by FINRA, and rule changes adopted by NASD and FINRA with approval of the Securities and Exchange Commission ("SEC") with respect to the CRD system and expungements;

(3) PIABA discusses issues identified as a result of the analysis of the expungement data, expresses conclusions or opinions with respect to those issues, and expresses ideas about how the issues reflected in the expungement data should be addressed.

THE CENTRAL REGISTRATION DEPOSITORY SYSTEM

FINRA maintains the qualification, employment and disclosure histories of 5100 broker/dealers and approximately 660,000 of their securities employees in the electronic CRD

system.[4] FINRA and the North American Securities Administrators Association ("NASAA") established a CRD system in 1981. In 1999, the CRD system was transformed from a paper-based system under which paper registration forms were submitted to the NASD and entered by it, to a web-based system in which the vast majority of registration forms are filed online via the Internet.[5] FINRA's predecessor, NASD[6], has described the CRD system as follows:

> The CRD system is an online registration and licensing system for the U.S. securities industry, state and federal regulators, and self-regulatory organizations ("SROs"). The CRD system contains broker/dealer information filed on Forms BD and BDW and information on associated persons filed on Forms U-4 and U-5. The CRD system also contains information filed by regulators via Form U-6. The CRD system contains administrative information (*e.g.*, personal, organizational, employment history, registration, and other information) and disclosure information (*e.g.*, criminal matters, regulatory disciplinary actions, civil judicial actions, and information relating to customer disputes) filed on these forms.
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> NASD operates the CRD system pursuant to policies developed jointly with the North American Securities Administrators Association (NASAA). NASD works with the SEC, NASAA, other members of the regulatory community, and member firms to establish policies and procedures reasonably designed to insure that information submitted to and maintained on the CRD system is accurate and complete. These procedures, among other things, cover expungement of information from the CRD system in narrowly defined circumstances.[7]

Thus, for each associated person licensed by NASD or FINRA, the CRD system contains disclosure information with respect to the associated person having been named in a criminal

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4 *See* FINRA Dispute Resolution Expungement training materials at p. 5. The FINRA Dispute Resolution Expungement training materials are available at http://www.finra.org/ArbitrationAndMediation/Arbitrators/Training/WrittenMaterials/index.htm.

5 *See* FINRA Dispute Resolution Expungement training materials at 6.

6 FINRA was formerly known as National Association of Securities Dealers, Inc. On July 30, 2007, NASD acquired the member regulation, enforcement, and arbitration operations of the New York Stock Exchange and changed its name to FINRA.

7 NASD Notice to Members 04-16, which is available at http://www.finra.org/Industry/Regulation/Notices/2004/P003233.

matter, having been the subject of a regulatory disciplinary action, having been named in a civil judicial action, and having been named in an investor arbitration proceeding.

For many years, there was an anomaly in the reporting requirements with respect to customer complaints. Until May 18, 2009, the questions on the Form U-4 and Form U-5 only required the reporting of two categories of customer complaints: (1) written or oral customer-initiated, investment-related complaints involving alleged sales practice violations for damages in the amount of $5,000 or more; and (2) customer-initiated, investment-related, arbitration or civil litigation claims in which the broker was named as a respondent or defendant and was alleged to have been involved in one or more sales practice violations. Thus, if a registered representative was the subject of an oral or written investment-related complaint by a customer alleging one or more sales practice violations and seeking damages of $5,000 or more, which was conveyed to the broker/dealer employing the registered representative, that customer complaint had to be reported to NASD or FINRA. Likewise, if a registered representative was named as a respondent or defendant in an investment-related arbitration or civil action filed by a customer in which the customer alleged the registered representative's involvement in one or more sales practice violations, the broker/dealer employing the registered representative had an obligation to report to NASD or FINRA the filing of the arbitration proceeding or civil action. However, prior to May 18, 2009, if a registered representative was identified by name in a customer-initiated arbitration proceeding or civil action or otherwise identified as the person involved in one or more sales practice violations, but the registered representative was not named as a respondent or defendant, there was no requirement to report to NASD or FINRA the filing of the arbitration proceeding or civil action.

Investor advocates and others complained to FINRA about this anomaly. On March 6, 2009, FINRA filed a proposed rule change with the SEC for comment, review, and approval.[8] The rule amendments included in the proposed rule change addressed the above-described anomaly by incorporating two additional questions into the Forms U-4 and U-5. One of those questions required the reporting to FINRA of a registered representative being the subject of (without being named as a respondent or defendant) an investment-related, customer-initiated arbitration claim or civil action within the past twenty-four months in which the customer alleged one or more sales practice violations and requested compensatory damages of $5,000 or more.[9] On May 13, 2009, the SEC approved FINRA's proposed rule change described above[10] In May, 2009, FINRA announced the SEC's approval of the proposed rule change.[11] FINRA announced that the amendments with respect to the reporting of customer complaints on Forms U-4 and U-5 became effective on May 18, 2009. Additional questions on the Forms U-4 and U-5 applied to arbitration claims or civil actions filed on or after May 18, 2009.[12]

PIABA chose to base this study on arbitration awards which mention "expungement" in customer-initiated proceedings filed between January 1, 2007, and December 31, 2011, in part, to analyze the effect that the amendments announced in Regulatory Notice 09-23 have had on expungements. The May 18, 2009, effective date is approximately at the midpoint of the five year time period for which PIABA obtained arbitration award data from SAC.

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8 *See* Exchange Act Release No. 59916 (May 13, 2009) (SEC Order Approving SR-FINRA-2009-008).

9 FINRA maintains on its website at www.finra.org a public disclosure database concerning broker/dealers and brokers called "BrokerCheck". FINRA's BrokerCheck database for registered representatives includes employment history, licensure and registration information, and disclosure information, including customer complaints. FINRA's BrokerCheck database is available at http://www.finra.org/Investors/ToolsCalculators/BrokerCheck/.

10 Exchange Act Release No. 59916 (May 13, 2009) (SEC Order Approving SR-FINRA-2009-008), 74 Fed.Reg. 23750 (May 20, 2009) (Order Approving File No. SR-FINRA-2009-008).

11 Regulatory Notice 09-23 is available at http://www.finra.org/Industry/Regulation/Notices/2009/P118706.

12 *See* FINRA Regulatory Notice 09-23 at p. 4.

REGULATORY BACKGROUND CONCERNING EXPUNGEMENTS

After the inception of the CRD system in 1981, the NASD generally honored court-ordered expungements.[13] In NASD Notice to Members ("NTM") 01-65, the NASD also stated, "Arbitrator-ordered expungements that met certain requirements also were honored until January 1999."[14] NASD did not describe in NTM 01-65 what those "certain requirements" were. In the same notice, NASD recognized that most customer/broker disputes are resolved in arbitration or are settled without any ruling by a finder of fact. NASD further noted that neither of those customer claim resolution methods results in a document that explicitly identifies the basis for granting expungement relief, because arbitrators are not required to provide the reasoning for a decision or award, and arbitrators typically do not do so.[15]

The reference in NTM 01-65 to arbitrator-ordered expungements that met certain requirements being honored until January, 1999, relates to NASD Regulation imposing a moratorium on arbitrator-ordered expungements effective January 19, 1999.[16] The moratorium was the result of a disagreement between NASD Regulation and NASAA concerning arbitrator-ordered expungements. At that time, the CRD system was operated pursuant to an agreement between NASD Regulation and NASAA. NASD Regulation had taken the position that expungement of information from the CRD system ordered by an arbitrator and contained in an award should be given the same treatment as a court-ordered expungement. NASAA disagreed because it was the opinion of NASAA that under some state laws information submitted to the

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[13] *See* NASD Notice to Members 01-65, p. 564, which is available at http://finra.complinet.com/en/search/search.html?rulenumber=01-65.

[14] *Id.*

[15] *Id.* at p. 566 and fn. 8.

[16] *See* NASD Notice to Members 99-09 ("NTM 99-09") at p. 47, which is available at http://www.finra.complinet.com/en/search/search.html?rulenumber=99-09.

CRD system was a state public record, and such state laws did not recognize the authority of arbitrators to remove a state public record.[17]

Later in 1999, NASD Regulation issued Notice to Members 99-54 ("NTM 99-54") in which it recognized that information on the CRD system "has important investor protection implications, provided it is complete and accurate." NASD Regulation further stated, "Therefore, such information should not be expunged without good reason (*e.g.*, a finding that expungement relief is necessary because information on the CRD system is defamatory in nature, misleading, inaccurate, or erroneous)."[18]

In NTM 99-54, NASD Regulation sought comment on an approach that would establish standards which would have to be satisfied before NASD Regulation would expunge information from the CRD system based on an arbitrators' award.[19] In this notice, NASD Regulation also posed the following question:

> **Should consent awards (*i.e.*, those containing expungement directives) be treated differently than awards issued after full consideration of the merits of the dispute?** (emphasis in the original)[20]

NASD Regulation requested comments on whether the establishment of standards as outlined in the notice would provide a basis for NASD Regulation to treat stipulated awards with expungement directives in the same manner as awards containing expungement directives after a full hearing.[21]

NASD Regulation noted the widely accepted authority of arbitrators to award equitable relief. It stated its belief that arbitrators ordering expungement of information from the CRD

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[17] *Id.*
[18] *See* NASD Regulation Notice to Members 99-54 at p. 2, which is available at http://www.finra.org/Industry/Regulation/Notices/1999/P004218.
[19] *Id.* at p. 2.
[20] *Id.*
[21] *Id.* at pp. 2-3.

system which is determined to be defamatory, misleading, inaccurate, or erroneous is equitable relief within the authority of the arbitrators. However, as of the issuance of NTM 99-54, the NASD's Code of Arbitration Procedure and its arbitrator training materials did not address the granting of equitable relief in the form of expungement of information from the CRD system.[22]

NTM 01-65 also included a discussion of stipulated awards which result from a settlement between the parties and do not involve any findings of fact as to the merits of the investor's claim. In the discussion of stipulated awards, the NASD stated:

> [C]oncerns had been raised about the possibility of negotiated arrangements wherein a firm may agree to settle a claim filed by a customer against an associated person and the firm, provided the customer agrees to the inclusion of a directive to expunge all information about the claim from the associated person's CRD record. In some cases, a customer claim/allegation may have merit and, therefore should be reported on the uniform registration forms, included in the CRD system for use by regulators and broker/dealers, and made available to investors through NASD Regulation's PDP [Public Disclosure Program]. Expungement may be inappropriate under these circumstances.[23]

At the conclusion of the foregoing quotation, the NASD appended a footnote, which stated the following:

> **NASD Regulation is aware of allegations that firms have pressed customers/claimants into accepting expungement as a condition of settlement of arbitration proceedings. While we believe that the proposed rules would address these concerns, NASD Regulation would consider this practice to be a possible violation of Rule 2110.**[24] (Emphasis added)

In addition to the discussion in 01-65 described above, NASD stated:

> "Stipulated" (or consent) awards or settlements are a source of particular concern because typically there has been no hearing on the merits, no independent fact finder involved in the negotiations, and no rationale provided for the expungement. While there may

[22] *Id.* at p. 3.
[23] NASD NTM 01-65 at 567.
[24] *Id.* at p. 570, fn 14.

> be legitimate reasons for the expungement, those reasons generally are not provided in a stipulated award or a settlement. Therefore, NASD Regulation is proposing that any approach dealing with the expungement of customer dispute information must address both expungement orders in arbitration awards after a hearing on the merits and "stipulated" or consent awards in which the parties agree to expungement as part of the settlement and then present the settlement to the arbitrator for inclusion in an award.[25]

Thus, as early as 1999, NASD Regulation had concerns about whether stipulated or consent awards containing expungement relief should be treated differently than awards issued after a hearing on the merits. NASD reiterated those concerns in NTM 01-65. Significantly, NASD Regulation took the position that it would consider respondents conditioning the settlement of arbitration proceedings on customer claimants' agreement to expungement relief to be a possible violation of the just and equitable principles of trade under Rule 2110.

The standards for granting expungement relief proposed by NASD Regulation in NTM 01-65 were factual impossibility or clear error, the claim being without legal merit, and the claim being defamatory in nature. The notice stated that NASD Regulation believed that it would be proper to include expungement relief in stipulated awards only in cases that involve factual impossibility or a party being mistakenly named.[26]

NASD's next effort to establish standards for the granting of expungement relief came with the filing of proposed Rule 2130 in a submission to the SEC on November 19, 2002.[27] NASD Rule 2130, entitled "Obtaining an Order of Expungement of Customer Dispute Information from the Central Registration Depository (CRD) System", established requirements

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[25] *Id.* at p. 566.

[26] *Id.* at 567.

[27] SEC Order Granting Approval of Proposed Rule Change and Amendment No. 1, Thereto, and Notice of Filing Order Granting Accelerated Approval to Amendment No. 2, Thereto, Relating to Proposed NASD Rule 2130 Concerning the Expungement of Customer Dispute Information From the Central Registration Depository System, 68 Fed.Reg. 74667 (December 24, 2003), Exchange Act Release No. 48933 (File No. SR-NASD-2000-168 (Dec. 16, 2003, 68 Fed.Reg. 74667 (December 24, 2003). NASD Rule 2130 has been incorporated into the FINRA Manual as Rule 2080.

to be met by member firms or associated persons to obtain the expungement of information from the CRD system arising from a customer complaint. First, the rule required that member firms and associated persons must obtain an order from a court of competent jurisdiction directing expungement or confirming an arbitration award containing expungement relief. Second, member firms and associated persons that petitioned a court for expungement relief or sought judicial confirmation of an arbitration award containing expungement relief were required to name NASD as an additional party and serve NASD with all appropriate documents, unless NASD waived that requirement. Third, the rule set forth three affirmative judicial or arbitral findings that might result in NASD waiving the obligation to name it as a party in a petition to a court for expungement relief or confirmation of an arbitration award granting such relief:

> (A) The claim, allegation, or information is factually impossible or clearly erroneous;
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> (B) The registered person was not involved in the alleged investment-related sales practice violation, forgery, theft, misappropriation, or conversion of funds; or
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> (C) The claim, allegation, or information is false.

Fourth, NASD reserved the discretion under extraordinary circumstances to waive the obligation to name NASD as a party to a petition filed in court if the expungement relief and accompanying findings providing the basis for that relief are meritorious and expungement would have no material adverse effect on investor protection, the integrity of the CRD system, or regulatory requirements.[28]

In its order approving Rule 2130, the SEC noted that, "Currently, it is possible that respondents may agree to pay damages as a quid pro quo for expungement and obtain court

[28] *Id.*

confirmation of the expungement."[29] NASD took the position that the proposed rule would reduce, if not eliminate, the risk of expungement of information critical to investor protection and regulatory interests as a condition in settlement negotiations. NASD believed that any concern about members or associated persons "buying clean records" would be addressed by the requirement in the rule of an "affirmative determination" of one of the grounds specified in the rule by the arbitrators.[30] The SEC expressed its agreement with NASD's position that the "affirmative" determination requirement would provide sufficient regulatory protection and would not allow the "buying of clean records".[31]

Rule 2130 became effective on April 12, 2004, and applied to any request filed with a court of competent jurisdiction to expunge customer dispute information from the CRD system, which was based upon an arbitration proceeding or civil action filed on or after April 12, 2004.[32]

In June, 2004, NASD issued NTM 04-43[33] to provide guidance to member firms and associated persons with respect to the use of affidavits obtained from customers in connection with stipulated awards or settlements to obtain expungement of customer dispute information under Rule 2130. In NTM 04-43, NASD stated that it had recently become aware of situations in which respondents appeared to be settling customer claims, at least in part, for monetary compensation provided to the customer in return for an affidavit from the customer absolving one or more of the respondents from the wrongdoing alleged in the statement of claim.[34] NASD cautioned member firms and associated persons that paying consideration for affidavits from customers as part of settlement negotiations, the content of which is untrue and contradicts the

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[29] 68 Fed.Reg. 74667, 74670 (Dec. 24, 2003).
[30] *Id.*
[31] *Id.* at 74671.
[32] *See*, NASD Notice to Members 04-16, at p. 211, which is available at http://www.finra.org/Industry/Regulation/Notices/2004/P003233.
[33] NASD Notice to Members 04-43 is available at http://www.finra.org/Industry/Regulation/Notices/2004/P003014.
[34] *Id.* at p. 544.

allegations in the statement of claim, exposed member firms and associated persons to a variety of sanctions, including a potential disciplinary proceeding for violation of NASD rules, including Rule 2110.[35] NASD concluded NTM 04-43 by stating:

> NASD believes that abusing NASD's dispute resolution system by negotiating settlements with customers in return for exculpatory affidavits that the member or associated person knows or should know are false or misleading contravenes Rule 2110, which requires members and their associated persons, in the conduct of their business, to observe high standards of commercial honor and just and equitable principles of trade.[36]

Thus, with the issuance of NTM 04-43, NASD put member firms and associated persons on notice that it was a prohibited practice and a violation of NASD rules for member firms and associated persons to bargain for as part of settlement negotiations a contrived affidavit from the customer claimant which contradicts the allegations of the statement of claim for the purpose of obtaining expungement relief. Bargaining for such an affidavit from a customer claimant could clearly result in the "buying of a clean record" and would make a mockery of any "affirmative determination" of one of the three grounds in Rule 2130 by a panel of arbitrators.

NASD issued NTM 04-44 along with NTM 04-43.[37] NTM 04-44 provided guidance to member firms and associated persons concerning impermissible confidentiality provisions in settlement agreements, impermissible complaint withdrawal provisions, and procuring false or misleading affidavits as a condition to settlement.[38] Impermissible confidentiality provisions include those that prohibit, limit, or discourage customer claimants or other persons from disclosing settlement terms or facts giving rise to the dispute in response to inquiries from

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[35] *Id.*
[36] *Id.* at p. 555.
[37] NASD Notice to Members 04-44 is available at http://finra.org/Industry/Regulation/Notices/2004/P003011.
[38] *Id.* at pp. 558-559.

regulatory agencies.[39] Impermissible complaint withdrawal provisions included conditioning a settlement on a customer claimant withdrawing a pending complaint filed with NASD or another regulatory agency.[40] NASD notified member firms and associated persons that these two practices, as well as the procurement of false or misleading affidavits from customer claimants as a condition of settlement, were violations of Rule 2110.[41]

With NTM 04-43 and NTM 04-44, NASD made it clear that practices designed to "game" the expungement system established by Rule 2130 or to prevent or discourage regulatory inquiry concerning settlement of customer disputes constitute violations of NASD rules, including Rule 2110.

Despite the approval and implementation of Rule 2130, FINRA determined that there were still problems that needed to be addressed with respect to requests to expunge customer dispute information under the rule. There was no requirement that arbitrators hold a recorded hearing session regarding the propriety of expungement. There was no requirement that in cases involving settlements, arbitrators review the settlement documents and consider them when determining whether expungement was appropriate. There was no requirement that arbitrators base their granting of an award of expungement on one of the three grounds set forth in Rule 2130. There was no requirement that arbitrators provide a written explanation of the reasons for a finding that one or more of the Rule 2130 grounds for expungement apply to the facts of the case. There was no requirement that all forum fees pertaining to a request for expungement relief be assessed against the party requesting that relief.

FINRA addressed these problems in March, 2008, with a proposed rule change, proposing the adoption of Rule 12805 as an addition to the Code of Arbitration Procedure for

[39] *Id.* at 558.
[40] *Id.* at 559.
[41] *Id.* at 558.

Customer Disputes and Rule 13805 of the Code of Arbitration Procedure for Industry Disputes.[42] Rule 12805 contains express provisions addressing each of the problems in the expungement process identified above. In its order approving Rules 12805 and 13805, the SEC made note of a number of important statements and positions of FINRA, and the SEC made several statements of consequence with respect to the expungement process.

FINRA advised the SEC that while arbitrators may order expungement after a hearing on the merits in a customer's case, it is more common for arbitrators to order expungement at a party's request to facilitate a settlement. FINRA advised the SEC that the terms of the settlement could require a customer to consent to or not oppose ordering of expungement relief in a stipulated award. In determining whether to grant expungement in conjunction with a settlement or a stipulated award, FINRA expected arbitrators to review the settlement agreement regarding the amount paid and other terms and conditions of the agreement which might raise concerns about whether expungement relief was appropriate. However, apparently, arbitrators frequently did not review the terms of settlement agreements before granting expungement relief.[43]

One of the arguments made by commenters on the proposed rule change was that arbitrators would hear only the position of the party requesting expungement if customer claimants did not participate in the expungement hearing. In response to this argument, FINRA assured the SEC that it would take appropriate steps to ensure that arbitrators perform the essential fact-finding that is required by Rule 12805, whether or not a customer appears at the expungement hearing.[44]

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[42] *See* Exchange Act Release No. 58886 (October 30, 2008), 73 Fed.Reg. 66086 (November 6, 2008) (File No. SR-FINRA-2008-010).

[43] 73 Fed.Reg. 66086 at p. 66087.

[44] 73 Fed.Reg. 66086 at p. 66088.

Another argument made in comment letters submitted with respect to the proposed rule change was that the rule should deter excessive expungement relief, particularly in situations involving settlements or the agreement not to oppose expungement relief as a condition of the payment of settlement consideration to the customer. In response to this argument, FINRA stated, as it had many times before, that expungement relief should be an extraordinary remedy.[45] In approving the proposed rule change, the SEC made specific note of FINRA's repeated position that expungement relief is to be an extraordinary remedy and FINRA's position that expungement should be granted only when the information to be expunged has "no meaningful regulatory or investor protection value".[46] The SEC also stated that it believes FINRA should review expungement requests to ensure that expungement is an extraordinary remedy.[47]

The SEC made the following significant statements in support of its decision to approve the proposed rule change:

> **[T]he Commission believes that having accurate and complete information in the CRD is vital; information that has regulatory value or that could assist investors in protecting themselves should not be removed from CRD.**
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> *** * ***
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> **The Commission believes that the training and education FINRA provides in conjunction with the proposed rule change will be critical to the implementation and proper application of the rules. Proper training of arbitrators should help make expungement the extraordinary remedy that it was meant to be and should convey to the arbitrators the importance of their role in maintaining the integrity of the CRD.**
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> **Given the importance of CRD for regulators and to customers who want to get information about registered persons or**

[45] *Id.* (citations omitted)
[46] 73 Fed.Reg. 66086 at p. 66089. (citations omitted)
[47] 73 Fed.Reg. 66086 at p. 66090.

> **member firms before they do business with them, the Commission urges FINRA in its regulatory role to monitor how this rule is applied by arbitrators to assure that it is achieving its goals, and to propose additional changes if needed.**[48] (Emphasis added)

With Regulatory Notice 08-79 ("NTM 08-79), FINRA announced the SEC's approval of Rules 12805 and 13805 with an effective date of January 26, 2009.[49] In NTM 08-79, FINRA stated the following:

> Accurate and complete reporting in CRD, including the reporting of required customer dispute information, is an important aspect of investor protection.
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> * * *
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> The new procedures ensure that arbitrators have the opportunity to consider the facts that support or weigh against a decision to grant expungement. The procedures add transparency to the process and safeguards designed to ensure that the extraordinary relief of expungement is granted only under appropriate circumstances.[50]

ANALYSIS OF DATA CONCERNING EXPUNGEMENT REQUESTS AND ARBITRATORS' RULINGS ON THOSE REQUESTS FOR ARBITRATION PROCEEDINGS FILED BETWEEN JANUARY 1, 2007, AND DECEMBER 31, 2011

In preparing this study, PIABA reviewed data that it requested SAC to provide with respect to all arbitration awards entered in cases filed between January 1, 2007 and December 31, 2011 (the "Review Period"), which mention the term "expungement".[51] PIABA requested that SAC identify each arbitration proceeding by docket number and caption in the order in which the cases were filed for two time periods: from January 1, 2007 through May 17,

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48 *Id.*

49 *See* Regulatory Notice 08-79 at p. 1, which is available at http://www.finra.org/Industry/Regulation/Notices/2008/P117541.

50 *Id.* at p. 2.

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

2009; and from May 18, 2009 through December 31, 2011. For each case, PIABA requested that SAC also provide the following information:

(a) The venue of the proceeding;

(b) The date the claim was filed;

(c) The date the award was issued;

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

(e) Whether expungement was granted or denied;

(f) If expungement was granted, the Rule 2130/2080 basis or bases on which expungement was granted;

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

(h) Identify cases concluded by stipulated awards or settlements.

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

SAC provided the requested data for the two time periods on the spreadsheets attached to this study. Each set of spreadsheets is accompanied by a report key to facilitate the interpretation of the data reported on the spreadsheets.

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

2007 – 1,895

2008 – 3,677

2009 – 5,247

2010 – 3,752

2011 – 3,064

PIABA's analysis of the awards in which expungement was requested in cases filed in 2007, 2008, and 2009 on or before May 17, 2009, resulted in the statistics set forth in the charts below:[52]

2007

Stipulated Awards/Settlements

Exp. Granted	Exp. Denied	Total Stipulated Awards	Percentage of Cases Exp. Granted	Percentage of Cases Exp. Denied
38	5	43	88.4	11.6

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Cl. Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
40	32	6	33	72	39	55.6	44.4	15.4	84.6

2008

Stipulated Awards/Settlements

Exp. Granted	Exp. Denied	Total Stipulated Awards/Settlements	Percentage of Cases Exp. Granted	Percentage of Cases Exp. Denied
53	6	59	89.8	10.2

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Claimant Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
44	32	13	49	76	62	57.9	42.1	21	79

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

January 1, 2009-May 17, 2009

Stipulated Awards/Settlements

Exp. Granted	Exp. Denied	Total Stipulated Awards/Settlements	Percentage of Cases Exp. Granted	Percentage of Cases Exp. Denied
39	5	44	88.6	11.4

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Cl. Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
48	23	7	38	71	45	67.6	32.4	15.6	84.4

Summary of Expungements for the Time Period
January 1, 2007-May 17, 2009

Stipulated Awards

Exp. Granted	Exp. Denied	Total Stipulated Awards/Settlements	Percentage of Cases Exp. Granted	Percentage of Cases Exp. Denied
130	16	146	89	11

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Cl. Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
132	87	26	120	219	146	60.3	39.7	17.8	82.2

PIABA's analysis of the awards in which expungement was requested in cases filed in 2009 on or after May 18, 2009, 2010, and 2011 resulted in the statistics set forth in the charts below:

May 18, 2009-December 31, 2009

Stipulated Awards/Settlements

Exp. Granted	Exp. Denied	Total Stipulated Awards/Settlements	Percentage of Cases Exp. Granted	Percentage of Cases Exp. Denied
133	6[53]	139	95.7	4.3

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Cl. Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
81	41	22	63	122	85	66.4	33.6	25.9	74.1

2010

Stipulated Awards/Settlements

Exp. Granted	Exp. Denied	Total Stipulated Awards/Settlements	Percentage of Cases Exp. Granted	Percentage of Case Exp. Denied
202	6[54]	208	97.1	2.9

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Cl. Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
91	56	18	69	147	87	61.9	38.1	20.7	79.3

[53] During this time period, there were three cases in which expungement was granted to one registered representative and expungement was denied to another. Each of these three awards was treated as two separate awards for calculating the total stipulated awards/settlements and for the purpose of calculating percentages.

[54] During this time period, there was one case in which expungement was granted to one registered representative and expungement was denied to another. This case was treated as two separate awards for calculating the total stipulated awards/settlements and for the purpose of calculating percentages.

2011

Stipulated Awards/Settlements

Exp. Granted	Exp. Denied	Total Stipulated Awards/Settlements	Percentage of Cases Exp. Granted	Percentage of Cases Exp. Denied
133	3	136	97.8	2.2

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Cl. Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
54	30	10	34	84	44	64.3	35.7	22.7	77.3

Summary of Expungements for the Time Period
May 18, 2009-December 31, 2011

Stipulated Awards/Settlements

Exp. Granted	Exp. Denied	Total Stipulated Awards/Settlements	Percentage of Cases Exp. Granted	Percentage of Cases Exp. Denied
468	15	483	96.9	3.1

Cases Tried on the Merits

Resp. Prevails Exp. Granted	Resp. Prevails Exp. Denied	Cl. Prevails Exp. Granted	Cl. Prevails Exp. Denied	Total Cases Resp. Prevails	Total Cases Cl. Prevails	Percentage of Cases Resp. Prevails Exp. Granted	Percentage of Cases Resp. Prevails Exp. Denied	Percentage of Cases Cl. Prevails Exp. Granted	Percentage of Cases Cl. Prevails Exp. Denied
226	127	50	167	353	217	64	36	23	77

ISSUES ARISING FROM THE EXPUNGEMENT DATA AND PROPOSALS TO ADDRESS THOSE ISSUES

The data set forth on the SAC spreadsheets, the foregoing statistics, and a review of the stipulated awards identified on the SAC spreadsheets reveal some expected and some alarming trends.

An expected result of FINRA's amendment of the Form U-4 effective May 18, 2009, requiring associated persons not named as parties in a customer's arbitration claim to report the claim, is in an increase in expungement requests and an increase in non-named brokers seeking expungements. The amount of the increase, however, is dramatic. For the pre-NTM 09-23 time period, January 1, 2007 through May 17, 2009, expungement requests in cases resolved by stipulated awards or settlement and cases tried on the merits totaled 511. For the time period May 18, 2009 through December 31, 2011, expungement requests in cases resolved by stipulated awards or settlements and cases tried on the merits totaled 1,053.[55] For the time period January 1, 2007 through May 17, 2009, there were only 20 cases in which non-named associated persons sought expungement. For the time period May 18, 2009 through December 31, 2011, there were 407 cases in which non-named associated persons sought expungement, a twenty fold increase.[56]

FINRA has repeatedly stated that expungements should be an extraordinary remedy and that a respondent prevailing on the merits or obtaining a dismissal of a customer claimant's claim are not by themselves an appropriate ground for expunging the proceeding from the CRD system.[57] The relatively high percentage of cases reported in the SAC data in which the respondents prevailed and expungements were granted suggests that these pronouncements may not be getting through to arbitrators. For the time period January 1, 2007 through May 17, 2009, arbitration panels granted expungements in 60.3% of such cases. For the time period May 18,

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[55] Part of this increase may be attributable to a greater number of customer-initiated cases filed in 2009 after May 17, 2009, as compared to before May 18, 2009, and the greater number of customer-initiated cases filed in 2011 as compared to 2007.

[56] FINRA is in the process of drafting a proposed rule change for submission to the SEC proposing a rule or rules establishing procedures for non-named associated persons to seek expungements. If the SEC approves the proposed rule change, expungement requests will likely increase even more dramatically.

[57] *See*, *e.g.*, NTM 01-65 at p. 566; FINRA Dispute Resolution Expungement Training Materials at p. 18.

2009 through December 31, 2011, arbitration panels granted expungement relief in 61.9% of such cases.

The most alarming statistic arising from an analysis of the SAC data is the very high percentage of cases resolved by settlement or stipulated awards in which expungement relief has been granted. For the time period January 1, 2007 through May 17, 2009, expungement was granted in 89% of the cases resolved by stipulated awards or settlement. For the time period May 18, 2009 through December 31, 2011, expungement relief was granted in 96.9% of the cases resolved by settlements or stipulated awards.

In cases resolved by settlement, expungement is far from being an extraordinary remedy. To the contrary, it is, indeed, extraordinary for expungement relief not to be granted in cases resolved by settlement. It appears that NASD's and FINRA's attempts to mandate narrow grounds for granting expungement relief and to require arbitrators to hold hearings to receive evidence with respect to expungement relief, to review the terms and provisions of settlement agreements and the amounts paid, and to weigh the evidence and the competing interests regarding the granting or denial of expungement relief have failed with respect to cases resolved by settlement. The apparent result is that the accuracy and completeness of disclosure information concerning customer claims in the CRD system has been adversely affected by the rubber stamping of expungement relief by arbitration panels in cases resolved by settlement. The high percentage of expungement relief granted in cases resolved by settlements or stipulated awards may be attributable to a number of factors, including the following: (1) inadequate training of arbitrators; (2) arbitrators' failure to appreciate the importance of the integrity of the disclosure information in the CRD system; and (3) respondents and their counsel demanding or

requesting as part of settlement negotiations that claimants and their counsel either agree to expungement relief or agree not to oppose expungement relief.

Respondents and their counsel should only be making requests for expungement relief when the facts of the case clearly fall into one of the three Rule 2080 categories. There may be ethical issues with respect to respondents' counsel requesting that claimants agree to expungement relief or agree to not oppose expungement relief. For example, under Rule 4-3.4 of the Florida Rules of Professional Conduct, a lawyer shall not "request a person other than a client to refrain from voluntarily giving relevant information to another party unless the person is a relative or an employee or other agent of a client . . .."

Arbitrators must appreciate the critical importance of the integrity of the disclosure information in the CRD system. Particularly in cases involving expungement relief arising from settlements when the claimant nor his counsel appear at the expungement hearing, arbitrators must ensure that adequate inquiry is made with respect to the one-sided presentation made to them and must critically assess any settlement agreement which provides for payment of more than a nuisance value settlement.

For the cases filed during the Review Period, which were resolved by settlements or stipulated awards and in which expungement relief was granted, the awards in those cases reveal the following information. In the vast majority of those cases, claimants did not oppose expungement, agreed to expungement, or withdrew their claims against the associated person. The awards do not reflect whether the claimants not opposing expungement, agreeing to expungement, or withdrawing their claims against the associated person was a condition of settlement or was requested as part of settlement negotiations. However, the frequency with

which claimants do not oppose expungements, agree to expungement, or withdraw their claims strongly suggests that respondents are demanding or requesting such from claimants.

Arbitrators do not appear to be applying FINRA Rules 2080 and 12805 to make expungement relief an extraordinary remedy as FINRA and the SEC have repeatedly stated it should be, particularly with respect to cases resolved by settlement. Arbitrators do not appear to appreciate the importance of the accuracy of disclosure information in the CRD system to investor protection.

Under the current procedures of FINRA Dispute Resolution, motions seeking expungement relief are filed with FINRA in the arbitration proceeding with respect to which the expungement relief is sought. The FINRA case administrator for that proceeding then mails a copy or copies of the motion for expungement relief to the arbitrator or arbitrators presiding in that proceeding. FINRA does not review or critically assess motions seeking expungement relief. A filed motion for expungement relief is then set for a telephonic or in person hearing before the presiding arbitrator or arbitrators to rule on the motion. It is not until a brokerage firm or broker files an action in court seeking confirmation of an arbitration award granting expungement relief that FINRA undertakes a review of the arbitration award, the motion seeking expungement relief, or any settlement agreement.

At present, the training required by FINRA for arbitrators to be able to rule upon a motion seeking expungement relief is limited. Arbitrators must take an online training course, which takes approximately one hour, and pass a test concerning the materials included in the online training course.

FINRA needs to propose a rule change with respect to respondents and their counsel bargaining for in settlement negotiations or conditioning a settlement upon an investor's

agreement to not oppose expungement or an agreement to expungement. Changes need to be made with respect to the content and thoroughness of the training arbitrators are required to complete before they can rule upon a motion seeking expungement relief. Changes should also be made with respect to the procedures applicable to motions seeking expungement relief.

As the SEC suggested in its order approving Rules 12805 and 13805, FINRA should use its authority to review expungement requests, particularly those associated with settlements, to ensure that expungement is an extraordinary remedy. Member firms do not pay substantial sums to claimants when investors' claims are clearly erroneous, factually impossible, or false or when their associated person was not involved in wrongdoing.

FINRA should file a proposed rule change making it a violation of FINRA Rule 2010 for respondents, as part of settlement discussions, to negotiate for claimants to agree to not oppose expungement relief, to agree to expungement relief, or to withdraw their claims against associated persons. FINRA has already advised member firms and associated persons that conditioning settlement on claim withdrawal is a violation of Rule 2010. At a minimum, FINRA should issue a regulatory notice advising member firms and associated persons that bargaining for claimants to agree to expungement or to agree not to oppose expungement in settlement negotiations constitutes a violation of Rule 2010.

FINRA needs to significantly improve the training arbitrators receive concerning requests for expungement relief. That training should include an emphasis on the critical importance of the integrity of the disclosure information on the CRD system. FINRA should also attempt to ensure that arbitrators make the necessary inquiry during expungement hearings, particularly those arising from settlements at which neither claimants nor their counsel appear. That required inquiry should include the following:

(1) Asking an associated person whether he or she has other customer complaints pending, and if so, the number;

(2) Examining the associated person's CRD;

(3) Inquiring of the associated person whether he or she is or has been the subject of any regulatory proceedings and if so, the outcome;

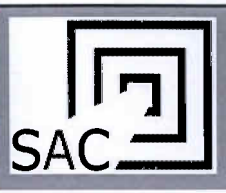
(4) Inquiring whether the associated person has previously requested expungement relief and if so, the number of times it was granted or denied; and

(5) Inquiring whether in the settlement with the claimant having the claimant agree to not oppose expungement, agree to expungement relief, or withdraw his or her claim against the associated person was bargained for or required.

Finally, for FINRA to fulfill its mission of investor protection, the procedures applicable to motions for expungement relief need to be changed. FINRA needs to play a more active role in arbitrators' rulings on motions for expungement relief. FINRA needs to review and critically assess all motions for expungement relief, particularly those made in cases resolved by settlement. FINRA also needs to review and critically assess settlement agreements. A proposed rule change should include the requirement that the hearing on any motion for expungement relief be scheduled no sooner than 60 days after service of the motion on the customer and FINRA. In cases resolved by settlement, FINRA should require respondents to provide to FINRA the settlement agreement along with the motion for expungement relief. Upon receipt of any motion for expungement relief and any settlement agreement, FINRA should provide those documents to the securities commissioner for the state in which the case was filed. The amended procedures should provide for FINRA and the designee of the state securities commissioner to

have the right to appear at the hearing on the motion for expungement relief and to oppose expungement relief when such opposition is appropriate.

Report Key



Securities Arbitration Commentator, Inc.

help@sacarbitration.com
www.sacarbitration.com
973.761.5880

Abbreviations:

* Required Information Not Provided by the Award

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

NOTES:

All dollar figures are rounded to the nearest $100 and divided by $1000. In the "Total Amount Awarded" field, "-1" refers to an undisclosed settlement amount in a stipulated Award.

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

In the "Who Wins/Stipulated" field, "Cs Win" means that the claimant recovered an award, "Rs Win" means that he did not and "Stipulated" means that the Award was the result of a settlement. "Clm Wthdn." means that the claimant voluntarily withdrew his claim without compensation prior to a hearing on the merits.

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

"Who Paid" identifies whether one or more broker-dealers, one or more brokers or one or more customers are liable for damages. Amounts are included for broker-dealers or brokers who are liable for less than the total amount awarded. If a broker was liable, but received an expungement recommendation anyway, we add "(G)" after "Bkr;" otherwise, the liable parties either did not request expungement or were denied relief.

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

Expungement Requests in Customer-Initiated Arbitrations 1/1/07 - 5/17/09
Sorted by: Docket #

Securities Arbitration Commentator, Inc.
help@sacarbitration.com
www.sacarbitration.com
973.761.5880

Docket No.	Short Caption	Venue	Claim Filed	Award Issued	Broker Named	Expunge-ment Granted	Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous	Rule 2080/2130 Findings: False Claim	Rule 2080/2130 Findings: Not Involved	Who Won/ Stipulated	Comp. Dmgs. Claimed	Total Amount Awarded	Who Paid	Recovery Rate
07-00052	Hurlbert v. Advest Incorporated	Pittsburgh	1/8/2007	11/14/2007	Y	G			x	Rs Win	35.4	0		0%
07-00067	Powers v. Uebelein	St. Louis	1/9/2007	7/25/2007	Y	G			x	Rs Win	40.6	0		0%
07-00072	Ritucci-Chinni v. Sterling Financial	Orlando	1/5/2007	12/26/2007	Y	D				Cs Win				
07-00079	Pepe v. Morgenthau & Associates	New York	1/10/2007	5/6/2008	Y	D				Cs Win				
07-00121	Klein v. Merrill Lynch	Philadelphia	1/10/2007	2/4/2008	Y	G		x		Rs Win	37.6	0		0%
07-00139	Eller-Rolston v. Snyder	PP	1/8/2007	7/2/2007	Y	D				Rs Win				
07-00168	Belaid v. Halpert	New York	1/19/2007	3/28/2008	Y	D				Rs Win				
07-00170	McDonald v. Commonwealth Financial	Boston	1/19/2007	12/11/2007	Y	D				Rs Win				
07-00195	Smith v. Epling	PP	1/23/2007	6/6/2007	Y	D				Rs Win				
07-00197	Hamrah v. UBS Financial Services	San Francisco	1/22/2007	10/1/2007	Y	G			x	Rs Win	250	0		0%
07-00223	Caris v. Merrill Lynch	Phoenix	1/24/2007	8/13/2007	N	D				Cs Win				
07-00258	Herr v. Associated Securities	Reno	1/23/2007	5/28/2008	Y	G	x	x	x	Stipulated	500	-1		
07-00293	Wessel v. Associated Securities	Reno	1/26/2007	4/9/2008	Y	G	x	x	x	Stipulated	300	-1		
07-00302	Manjee v. Citigroup Global	Indianapolis	3/12/2007	8/5/2008	Y	G		x		Stipulated	5000	-1		
07-00317	Erickson v. Meyers Associates	Washington	3/19/2007	3/20/2008	Y	D				Rs Win				
07-00340	Mackey v. Edward D Jones	Chicago	2/5/2007	6/12/2008	Y	G	x	x		Stipulated	300	-1		
07-00362	Ruelas v. Wachovia Securities	Los Angeles	2/2/2007	1/31/2008	Y	D				Rs Win				
07-00375	Manchester v. Morgan Stanley	Orlando	2/7/2007	4/24/2008	Y	D				Rs Win				
07-00380	Kaufmann v. AG Edwards	Hartford	2/8/2007	5/23/2008	Y	D				Cs Win				
07-00409	Tranfo v. Westrock Advisors	Washington	2/9/2007	1/29/2008	Y	D				Rs Win				
07-00417	Bondoc v. Wachovia Securities	Los Angeles	2/8/2007	11/12/2007	Y	D				Cs Win				
07-00439	McCurdy v. MetLife Securities	New Orleans	2/9/2007	7/31/2007	Y	D				Rs Win				
07-00519	Dao v. SII Investments	Los Angeles	2/15/2007	1/30/2008	Y	D				Cs Win				
07-00567	Owens v. Sanders	Seattle	2/15/2007	8/20/2007	Y	G	x	x	x	Rs Win	4.6	0		0%

Docket No.	Short Caption	Venue	Claim Filed	Award Issued	Broker Named	Expunge-ment Granted	Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous	Rule 2080/2130 Findings: False Claim	Rule 2080/2130 Findings: Not Involved	Who Won/ Stipulated	Comp. Dmgs. Claimed	Total Amount Awarded	Who Paid	Recovery Rate
07-00572	Falterbauer v. ViewTrade Securities	Boca Raton	2/22/2007	10/10/2008	Y	G				Stipulated	1000	-1		
07-00582	Hammond v. Sidwell	Boston	2/26/2007	11/27/2007	Y	D				Rs Win				
07-00601	Fitzpatrick v. NatCity Investments	Southfield	2/26/2007	9/26/2008	Y	D				Rs Win				
07-00611	Romamello-Davis v. Steinberg	New York	2/22/2007	11/27/2007	Y	D				Cs Win				
07-00624	Casper v. Gross	Boca Raton	2/27/2007	8/19/2009	Y	D				Cs Win				
07-00627	Peng v. Gabay	Newark	2/27/2007	12/16/2008	Y	G		x		Rs Win	2500	0	Cmr	0%
07-00688	Spradlin v. Associated Securities	Reno	2/28/2007	4/15/2008	Y	G	x	x	x	Stipulated	227	-1		
07-00689	Smith v. Associated Securities	Reno	2/27/2007	4/25/2008	Y	G	x	x	x	Stipulated	240	-1		
07-00736	Moss v. Westrock Advisors	New York	3/7/2007	4/18/2008	Y	G			x	Stipulated	225.8	-1		
07-00747	Goldsmith & Harris v. Pali Capital	New York	3/8/2007	1/29/2008	Y	D				Cs Win				
07-00753	Robinson v. Wedbush Morgan	Milwaukee	3/8/2007	2/15/2008	Y	D				Rs Win				
07-00768	Gunn v. Edward D Jones	Chicago	3/15/2007	7/17/2008	Y	G	x			Stipulated	300	-1		
07-00795	Castro v. Legg Mason	Columbia	3/12/2007	2/19/2008	Y	D				Cs Win				
07-00796	Simon v. CIBC World Markets	Boca Raton	7/30/2007	7/17/2008	Y	G	x		x	Stipulated	1000	-1		
07-00798	Egri v. CIBC World Markets	Boca Raton	3/12/2007	2/13/2008	Y	G			x	Cs Win	1500	31.6	BD, Bkr	2%
07-00799	Aloni v. CIBC World Markets	Boca Raton	3/9/2007	9/5/2008	Y	G	x		x	Stipulated	1500	-1		
07-00802	Faranso v. Sarafa	Detroit	3/12/2007	10/29/2007	Y	G	x			Rs Win	1000	0		0%
07-00873	Yarborough v. SunTrust	Raleigh	3/14/2007	11/23/2007	Y	G		x		Rs Win	15	0		0%
07-00877	Knowles v. Merrill Lynch	San Francisco	3/10/2007	12/28/2007	Y	G	x	x		Rs Win	9	0		0%
07-00878	Capron v. AG Edwards	Detroit	3/14/2007	6/11/2008	Y	G	x			Rs Win	75	0		0%
07-00916	Sudaka-Karlsson v. Cooke	New York	3/19/2007	3/31/2008	Y	G	x		x	Rs Win	17000	0		0%
07-00925	Whitehead v. CIBC World Markets	Boca Raton	3/16/2007	4/15/2008	Y	G			x	Rs Win	1000	0		0%
07-00945	Cox-Colon v. Citigroup Global	New York	3/29/2007	10/15/2009	Y	D				Cs Win				
07-00957	Harth v. Wachovia Securities	Philadelphia	3/16/2007	7/15/2008	Y	G			x	Stipulated	153.1	-1		

Docket No.	Short Caption	Venue	Claim Filed	Award Issued	Broker Named	Expunge-ment Granted	Rule 2080/2130 Findings: Factually Impossible or Clearly Erroneous	Rule 2080/2130 Findings: False Claim	Rule 2080/2130 Findings: Not Involved	Who Won/ Stipulated	Comp. Dmgs. Claimed	Total Amount Awarded	Who Paid	Recovery Rate
07-00998	Gueth v. Ameriprise Financial	Orlando	3/20/2007	10/6/2008	Y	G	x			Rs Win	0	0		
07-01027	Welch v. Morgan Stanley	Orlando	3/28/2007	12/21/2007	Y	G	x	x		Rs Win	0	0		
07-01049	Alpert v. Merrill Lynch	Boca Raton	3/28/2007	10/30/2008	Y	G			x	Rs Win	358.6	-1		
07-01059	Tamas v. Schwab	Atlanta	3/27/2007	12/17/2007	Y	G	x			Rs Win	227	0		0%
07-01083	Haines v. Catledge	Las Vegas	3/26/2007	3/17/2009	Y	D				Cs Win				
07-01100	Shorr v. AG Edwards	Charlotte	4/4/2007	3/28/2008	Y	G		x		Rs Win	110	0		0%
07-01108	Sterling Casualty v. Bear Stearns	Los Angeles	4/3/2007	12/26/2008	Y	D				Cs Win				
07-01110	Martelli v. The Investment Center	Los Angeles	3/29/2007	5/27/2008	Y	D				Rs Win				
07-01144	Fogel v. Tucker	Los Angeles	4/5/2007	11/28/2008	Y	G		x		Stipulated	0	-1		
07-01168	Mote v. First Allied	Boise	4/11/2007	7/15/2008	Y	D				Rs Win				
07-01216	Thiry v. Brookstreet Securities	Albuquerque	4/12/2007	3/22/2010	Y	D				Cs Win				
07-01246	Hill v. UBS Financial	PP	4/16/2007	9/13/2007	Y	D				Rs Win				
07-01255	Ashton v. Drayer	Nashville	5/2/2007	9/24/2007	Y	G			x	Rs Win	78.5	0		0%
07-01261	Lawler v. M&W Financial	Dallas	4/19/2007	1/13/2009	BD only	D				Rs Win				
07-01353	Brunwasser v. Rushmore Capital	New York	4/27/2007	7/24/2008	Y	G		x		Stipulated	25	-1		
07-01355	Nathanson v. Wachovia Securities	Baltimore	4/24/2007	4/29/2008	Y	G	x	x		Stipulated	100	-1		
07-01364	Williamson v. Stanley	Baltimore	4/27/2007	7/14/2008	Y	G	x	x	x	Stipulated	100	-1		
07-01397	Hall v. Joseph Stevens	Chicago	5/16/2007	11/3/2008	BD only	D				Cs Win				
07-01427	Tedesco v. Olympia Asset	Pittsburgh	5/1/2007	4/24/2008	Y	G		x		Rs Win	156	0		0%
07-01438	Croteau v. First Montauk	Boston	5/3/2007	5/8/2008	Y	D				Stipulated				
07-01464	Orton v. Capital Growth	Boca Raton	5/8/2007	5/8/2008	Y	D				Cs Win				
07-01491	Phalen v. World Group	Dallas	5/9/2007	8/25/2009	Y	G			x	Stipulated	0	-1		
07-01521	Shepherd v. Field	Los Angeles	5/10/2007	3/9/2009	Y	D				Stipulated				
07-01578	Picinich v. Morgan Stanley	Newark	5/15/2007	6/23/2008	Y	G	x	x		Rs Win	100	0		0%
07-01583	Davis v. Burleson	Charlotte	5/7/2007	3/26/2008	Y	D				Cs Win				
07-01611	Ludoff v. Merrill Lynch	Pittsburgh	7/16/2007	9/15/2008	Y	G	x			Rs Win	350	0		0%
07-01661	Cress v. Citigroup Global	Newark	5/25/2007	2/15/2008	Y	D				Rs Win				

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07-01679	Day v. Wunderlich Securities	Orlando	5/29/2007	2/5/2009	Y	G			x	Stipulated	245.7	-1		
07-01692	Doong v. Morgan Stanley	New York	5/29/2007	10/7/2009	Y	D				Rs Win				
07-01705	Scallons v. GMS Group	Dallas	5/31/2007	4/18/2008	Y	G	x			Rs Win	41.4	0		0%
07-01760	Littell v. Connolly	PP	6/5/2007	1/7/2008	Y	D				Cs Win				
07-01775	Burnell v. Southeast Investments	Charlotte	8/8/2007	10/6/2008	Y	G		x		Rs Win	300	0		0%
07-01803	Hartford Fire v. Edward Jones	Birmingham	6/12/2007	12/2/2008	Y	G			x	Cs Win	500	3.8	BD	1%
07-01816	Cariello v. Wallstreet Electronica	New York	6/14/2007	5/21/2008	Y	G			x	Stipulated	50	-1		
07-01849	Varah v. Synergy Investment	Boston	6/19/2007	8/12/2008	Y	D				Cs Win				
07-01864	Scull v. BPU Investment Group	Pittsburgh	6/18/2007	7/15/2008	Y	D				Cs Win				
07-01899	Stair v. PMG Securities	PP	6/21/2007	11/7/2007	Y	D				Rs Win				
07-01931	Hilliard v. Wachovia Securities	Charleston	6/27/2007	5/30/2008	Y	G	x	x		Rs Win	26.5	0		0%
07-01955	Elledge v. Edward D Jones	Phoenix	6/22/2007	2/6/2008	Y	G	x			Stipulated	236.8	-1		
07-02017	Heffernan v. Shapiro	New York	6/21/2007	2/5/2009	Y	D				Cs Win				
07-02094	Fritz v. Granite Financial	Cleveland	7/18/2007	7/23/2008	Y	G	x			Rs Win	2125	0		0%
07-02189	Donohue v. Citigroup Global	New York	7/24/2007	10/8/2008	Y	G		x		Stipulated	394	-1		
07-02209	Teper v. Borg	New York	7/31/2007	12/15/2008	Y	G	x			Rs Win	112	0		0%
07-02217	Watkins v. Wedgewood Partners	St. Louis	7/26/2007	1/16/2009	Y	G		x	x	Stipulated	230	-1		
07-02234	Greenwood v. Wittenberg	Dallas	7/31/2007	11/6/2008	Y	G	x		x	Stipulated	406.7	-1		
07-02238	Becker v. GKN Securities	PP	7/29/2007	6/6/2008	Y	D				Cs Win				
07-02258	Costanzo v. Harris	Philadelphia	8/1/2007	12/10/2009	Y	D				Rs Win				
07-02276	Glass v. Brooks	Portland	8/6/2007	12/3/2008	Y	G	x		x	Cs Win	632.5	600	BD ($400.0), Bkr	95%
07-02291	Kinnan v. Advanced Planning	New Orleans	8/6/2007	9/5/2008	Y	D				Cs Win				
07-02308	Roth v. The Riderwood Group	Detroit	8/6/2007	1/15/2009	Y	D				Cs Win				
07-02314	Key v. Financial Network	Houston	8/8/2007	8/28/2008	Y	G			x	Stipulated	0	-1		
07-02329	Schutz v. AG Edwards	PP	8/10/2007	3/25/2008	Y	D				Rs Win				

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07-02376	Strulowitz v. Citigroup Global	Newark	8/15/2007	6/2/2008	Y	G	x			Rs Win	126.5	0		0%
07-02441	Ask v. Gardner Financial	Minneapolis	8/19/2007	2/6/2008	Y	D				Rs Win				
07-02456	Brothers Oil & Gas v. Sterne Agee	Phoenix	8/24/2007	5/19/2008	Y	G		x		Rs Win	419.7	0		0%
07-02458	Sela v. Oak Ridge	Minneapolis	8/21/2007	8/15/2008	Y	G	x			Stipulated	292.6	-1		
07-02482	Keller v. WM Financial	New York	8/13/2007	9/28/2010	Y	D				Stipulated				
07-02494	Gentis v. Eslinger	Tampa	9/4/2007	10/7/2008	Y	G	x	x	x	Rs Win	442.1	0		0%
07-02499	Winburn v. AG Edwards	Louisville	8/28/2007	7/18/2008	Y	D				Cs Win				
07-02520	Sprague v. Laidlaw & Company	Austin	8/31/2007	1/7/2009	Y	D				Cs Win				
07-02544	Taylor v. H&R Block	Detroit	8/29/2007	1/13/2009	Y	G	x			Rs Win	400	0		0%
07-02567	Curry v. Charles Schwab	San Francisco	9/5/2007	4/24/2009	Y	D				Rs Win				
07-02572	Hurd v. Citigroup Global	Omaha	8/31/2007	12/1/2008	Y	G	x			Stipulated	750	-1		
07-02600	Maleitzke v. Fritz	Southfield	9/4/2007	7/9/2008	Y	G		x		Rs Win	176	0		0%
07-02602	Ray v. Bratcher	Nashville	7/25/2007	8/15/2008	Y	D				Rs Win				
07-02670	Barker v. BOSC Incorporated	Oklahoma City	9/14/2007	7/2/2008	Y	G	x	x		Stipulated	150	-1		
07-02676	Rothstein v. Fitzburgh	New York	9/18/2007	9/24/2008	Y	G	x		x	Rs Win	100	0		0%
07-02723	Monteagudo v. Wunderlich Securities	PP	9/19/2007	3/25/2008	Y	D				Cs Win				
07-02834	Gehrking v. Pritchard	PP	10/4/2007	4/15/2008	Y	D				Rs Win				
07-02871	Ferencak v. Scottrade Incorporated	New Orleans	10/15/2007	10/15/2008	Y	G		x		Stipulated	100	-1		
07-02872	Strayer v. Prudential Equity	Baltimore	10/2/2007	3/5/2009	Y	G		x		Stipulated	1000	-1		
07-02881	Rapillo v. TD Ameritrade	Boca Raton	10/1/2007	7/18/2008	Y	G			x	Stipulated	35	-1		
07-02883	Hartman v. McDonald Investments	Cleveland	10/9/2007	7/12/2010	Y	D				Stipulated				
07-02886	Sherpa Fund v. AFS Brokerage	Dallas	10/9/2007	10/6/2008	Y	D				Rs Win				
07-02901	Chyten v. United Capital	Los Angeles	10/10/2007	1/23/2009	Y	G	x		x	Stipulated	350	-1		
07-02907	Moskal v. H&R Block	Cleveland	10/11/2007	11/6/2008	Y	D				Rs Win				
07-02917	McLean v. Clark	Little Rock	10/12/2007	10/30/2008	Y	G		x		Rs Win	25.4	0		0%
07-02933	Shainheit v. Mahler	Newark	10/15/2007	6/16/2008	Y	G	x			Rs Win	50	0		0%
07-02938	Peltz v. Merrill Lynch	Columbus	10/15/2007	10/7/2008	Y	D				Cs Win				

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07-02960	Trinity United v. Allegheny Investments	Cleveland	10/17/2007	12/1/2009	Y	D				Cs Win				
07-02967	Sims v. AG Edwards	Washington	10/19/2007	12/22/2008	Y	D				Rs Win				
07-02969	Salovich v. Merrill Lynch	Las Vegas	10/14/2007	10/31/2008	Y	G	x		x	Rs Win	74.4	0		0%
07-03069	Nielsen v. Charles Schwab	Minneapolis	10/29/2007	10/2/2008	Y	D				Cs Win				
07-03084	Tower v. Wachovia Securities	PP	10/29/2007	4/17/2008	Y	D				Rs Win				
07-03118	TRB Family Partners v. Morgan Keegan	Boca Raton	11/5/2007	11/17/2008	Y	G			x	Rs Win	113.5	0		0%
07-03163	Bonds v. H&R Block	Houston	11/9/2007	12/30/2008	Y	G	x	x		Stipulated	120	-1		
07-03227	Jamous v. Wachovia Securities	Richmond	11/13/2007	11/12/2008	Y	G	x			Cs Win	650	525	BD, Bkr	81%
07-03259	Faulk v. Morgan Keegan	Birmingham	11/14/2007	5/1/2009	Y	G		x		Rs Win	312	0		0%
07-03269	Kershenblatt v. AG Edwards	Philadelphia	11/16/2007	9/12/2008	Y	G		x		Rs Win	0	0		
07-03305	Stibel v. Citadel Derivatives	Hartford	11/20/2007	6/10/2009	N	G	x	x		Rs Win	40	0		0%
07-03322	Gaidmore v. Bedinger	Manchester	11/21/2007	10/5/2009	Y	G		x		Rs Win	867.6	0		0%
07-03387	Bloch v. Distinctive Financial	Boca Raton	11/29/2007	12/24/2008	Y	G	x	x		Stipulated	20000	-1		
07-03391	Maywood v. JP Turner	San Diego	11/29/2007	12/17/2010	Y	G		x	x	Stipulated	1655	150		9%
07-03395	Nilsson v. Czarzasty	Hartford	11/30/2007	2/4/2009	Y	G			x	Stipulated	5	-1		
07-03399	Kenner v. Deutsche Bank	San Diego	11/29/2007	11/30/2009	Y	G			x	Cs Win	131083.9	500	BD	0%
07-03434	Meyers v. Fuller	PP	12/4/2007	4/7/2009	Y	D				Rs Win				
07-03464	Johnson v. Cantella & Company	Boca Raton	12/7/2007	11/25/2008	Y	D				Cs Win				
07-03476	McGaughran v. Ameriprise Financial	Boca Raton	12/10/2007	12/5/2008	Y	G	x			Stipulated	0	-1		
07-03481	Johnson v. Linsco/Private Ledger	San Francisco	12/7/2007	3/18/2009	Y	D				Cs Win				
07-03486	Maccarone v. Brookstreet Securities	New York	12/11/2007	12/31/2008	Y	G			x	Cs Win	241.4	102.4	BD, Bkr	42%
07-03505	Clark v. Morgan Keegan	Little Rock	12/13/2007	11/24/2008	Y	D				Rs Win				

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07-03530	Farber v. Brookstreet Securities	New York	12/17/2007	7/1/2009	Y	G			x	Stipulated	272	-1		
07-03558	Fox v. Brookshire Securities	Boca Raton	12/19/2007	10/21/2009	Y	D				Stipulated				
07-03584	Vigiano v. Kennedy	New York	12/21/2007	12/1/2008	Y	D				Cs Win				
08-00029	Roberts v. Wachovia Securities	Cincinnati	1/2/2008	5/29/2009	Y	G	x		x	Rs Win	83.1	0		0%
08-00040	Greenberg v. Jefferson Pilot	Boca Raton	1/3/2008	12/31/2008	Y	G	x			Stipulated	100	-1		
08-00060	Ommert v. Raymond James	Detroit	1/7/2008	12/30/2008	Y	G			x	Rs Win	500	0		0%
08-00086	Ramos v. Thompson	New York	1/10/2008	6/30/2009	Y	G	x	x		Stipulated	47.1	-1		
08-00126	Baiocco v. American Classic	Southfield	1/10/2008	1/21/2009	Y	D				Cs Win				
08-00156	Essex Equity v. Lehman Brothers	New York	1/18/2008	10/17/2012	Y	G	x		x	Rs Win	204609.9	0		0%
08-00157	Short v. Morgan Keegan	PP	1/14/2008	8/7/2008	Y	G			x	Cs Win	19.4	15	BD	77%
08-00226	Risner v. Morgan Keegan	Los Angeles	1/25/2008	8/3/2010	Y	G	x			Stipulated	463.7	-1		
08-00236	Graves v. Kahne	Tampa	1/23/2008	3/10/2009	Y	G		x		Rs Win	0	0		
08-00251	Follmer v. ProEquities Incorporated	Minneapolis	1/29/2008	11/4/2008	Y	D				Rs Win				
08-00273	Gann v. UBS Financial	San Diego	1/31/2008	11/25/2009	Y	D				Cs Win				
08-00294	Kotler v. Westrock Advisors	Los Angeles	1/23/2008	2/23/2009	Y	D				Stipulated				
08-00326	Misha v. Stone & Youngberg	San Francisco	2/6/2008	1/23/2009	Y	D				Cs Win				
08-00363	Kraus v. SunTrust Investment	Boca Raton	2/4/2008	9/24/2009	Y	G		x	x	Stipulated	475	-1		
08-00368	Ahmadian v. Wachovia Securities	Denver	2/1/2008	9/2/2009	Y	D				Rs Win				
08-00380	Levitt v. Merrill Lynch	Miami	2/11/2008	6/17/2009	Y	G			x	Stipulated	6000	-1		
08-00391	MacNaughton v. Capital Financial	Kansas City	2/11/2008	4/24/2009	Y	G			x	Stipulated	275	-1		
08-00397	Gayle v. Wachovia Securities	Houston	2/12/2008	6/18/2009	Y	G			x	Cs Win	143	4.6	BD	3%
08-00455	Woods v. Johnson	Phoenix	2/12/2008	7/20/2010	Y	D				Cs Win				
08-00469	Phoenix Energy v. Morgan Keegan	Birmingham	2/8/2008	11/24/2008	Y	G	x	x		Rs Win	33.9	0		0%
08-00483	Becker v. Signator Investors	New York	2/19/2008	11/7/2008	Y	D				Cs Win				

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08-00489	Francesconi v. Handwerk	Richmond	2/21/2008	5/22/2009	Y	G			x	Stipulated	88.3	-1		
08-00532	Branch Avenue v. United Securities	Richmond	2/25/2008	1/15/2009	Y	G		x		Rs Win	3917.9	0		0%
08-00539	Chaudhuri v. Gonzales	Los Angeles	2/25/2008	6/4/2009	Y	G			x	Rs Win	25	0		0%
08-00566	Amadas Incorporated v. Parmley	PP	2/26/2008	10/2/2008	Y	G			x	Rs Win	0.6	0		0%
08-00615	Hartford Fire v. Decker	Birmingham	6/12/2007	3/19/2008	Y	G		x		Rs Win	1000	0		0%
08-00632	Richert v. NEXT Financial	Miami	3/4/2008	7/27/2010	Y	D				Cs Win				
08-00659	Francis v. Neuberger Berman	Phoenix	3/7/2008	6/8/2009	Y	D				Rs Win				
08-00684	Marshall v. Warnky	Dallas	3/7/2008	6/18/2009	Y	D				Cs Win				
08-00716	Demet v. RW Baird	Milwaukee	3/11/2008	3/9/2009	Y	D				Cs Win				
08-00750	Stoltz v. Raymond James	PP	3/12/2008	11/12/2008	Y	D				Cs Win				
08-00752	Deakin v. JP Turner	New York	3/11/2008	10/21/2009	Y	G	x		x	Stipulated	150	-1		
08-00773	Bram v. Coleman	Hartford	3/14/2008	6/24/2009	Y	D				Cs Win				
08-00780	Carico v. Merrill Lynch	Charleston	3/17/2008	1/19/2010	Y	G	x	x		Stipulated	120	-1		
08-00824	Yashon v. AG Edwards	Columbus	3/19/2008	5/22/2009	Y	D				Cs Win				
08-00829	Davis v. Hasapes	Orlando	3/19/2008	10/1/2009	Y	G			x	Stipulated	700	-1		
08-00836	Leventhal v. Penson Financial	Boston	3/20/2008	2/4/2010	Y	D				Rs Win				
08-00840	Harris v. American Financial	Los Angeles	3/20/2008	4/9/2009	Y	D				Cs Win				
08-00956	Masterson v. Wachovia Securities	Oklahoma City	3/31/2008	4/13/2009	Y	D				Cs Win				
08-01032	Stahl v. Concord Equity	New York	4/8/2008	7/9/2009	BD only	D				Cs Win				
08-01038	Shnider v. First Republic	Detroit	4/7/2008	7/31/2012	Y	D				Stipulated				
08-01045	Ritter v. Lyon	New York	4/3/2008	7/29/2009	Y	G	x	x		Rs Win	20000	0		0%
08-01060	Shulman v. Labi	New York	4/10/2008	10/28/2009	Y	D				Cs Win				
08-01074	Mattson v. Goldstein	Los Angeles	4/10/2008	4/14/2009	Y	G			x	Stipulated	0	22		
08-01087	Abdelnour v. Merrill Lynch	Boston	4/11/2008	8/9/2011	Y	D				Rs Win				
08-01148	Selo v. Robert R Meredith	New York	4/17/2008	3/30/2009	N	G		x		Clm Wthdn	120	-1		
08-01231	O'Rorke v. Charles Schwab	Boulder	4/21/2008	4/30/2009	Y	D				Cs Win				
08-01242	Sklare v. Morgan Keegan	Louisville	4/21/2008	4/27/2009	Y	D				Cs Win				

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08-01247	Ohl v. Merrill Lynch	PP	4/23/2008	12/3/2008	Y	D				Cs Win				
08-01254	Hoh v. Ameriprise Financial	Raleigh	4/23/2008	2/26/2009	N	D				Cs Win				
08-01284	Curcie v. Avraham	Rochester	4/25/2008	6/26/2009	Y	D				Cs Win				
08-01298	DeCarlo v. Ameriprise Financial	Orlando	4/25/2008	10/2/2009	Y	G	x			Stipulated	200	-1		
08-01310	Schallern v. Morris	PP	4/28/2008	11/17/2008	Y	D				Cs Win				
08-01318	Gainer v. NYLife Securities	Chicago	4/28/2008	3/5/2010	Y	G	x			Rs Win	33.6	0		0%
08-01322	Graham v. Stone & Youngberg	Los Angeles	4/24/2008	8/25/2009	Y	G			x	Rs Win	350	0		0%
08-01325	Herman v. Charles Schwab	San Francisco	4/25/2008	8/28/2009	Y	G		x		Rs Win	190.9	0		0%
08-01366	Mer v. Morgan Stanley	Boca Raton	5/1/2008	1/30/2009	Y	G	x			Rs Win	425	0		0%
08-01369	Rausch v. H&R Block	Cincinnati	5/1/2008	5/10/2010	Y	D				Cs Win				
08-01388	Herman v. Charles Schwab	San Francisco	4/29/2008	1/31/2011	Y	G			x	Stipulated	732.2	-1		
08-01407	Patrusky v. Merrill Lynch	New York	5/2/2008	3/2/2009	Y	G	x	x	x	Stipulated	6550	-1		
08-01412	Chang v. Citigroup Global	San Francisco	4/30/2008	8/18/2010	Y	D				Rs Win				
08-01418	Lare v. Huntington Investment	Detroit	4/10/2008	11/20/2008	Y	G	x			Rs Win	0.9	0		0%
08-01465	Cobb v. Morgan Keegan	Birmingham	5/5/2008	2/23/2010	Y	D				Cs Win				
08-01475	Friedman v. Terra Nova	Chicago	5/8/2008	12/28/2009	BD only	D				Cs Win				
08-01503	Brasch v. First Republic	Detroit	5/7/2008	4/16/2010	Y	D				Rs Win				
08-01533	Solaris Opportunity v. Penson Financial	Chicago	5/13/2008	9/25/2009	Y	G	x	x		Rs Win	4900.1	0	Cmr	0%
08-01574	Turner v. E*Trade Securities	Kansas City	5/14/2008	4/17/2009	Y	G			x	Stipulated	0	-1		
08-01584	Main v. Wachovia Securities	Los Angeles	5/16/2008	3/19/2009	Y	G		x		Rs Win	24.5	0		0%
08-01635	Peterson v. Oak Ridge	Minneapolis	11/2/2008	4/3/2009	Y	G			x	Cs Win	536.6	187.4	Bkr (G)	35%
08-01651	Tule River v. Callan	Los Angeles	5/22/2008	11/2/2011	Y	G	x	x	x	Stipulated	12000	-1		
08-01704	Harrison v. PNC Investments	PP	5/28/2008	6/19/2009	Y	D				Cs Win				
08-01724	Lawson Software v. Lehman Brothers	Minneapolis	5/28/2008	4/17/2009	Y	G			x	Stipulated	63650	-1		
08-01735	Caletka v. Daily	New Orleans	5/29/2008	7/23/2009	Y	G	x	x	x	Rs Win	55	0		0%

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08-01771	Gans v. UBS Financial	Los Angeles	6/2/2008	8/27/2009	Y	D				Stipulated				
08-01792	Tichner v. Chepenik	New York	6/3/2008	12/31/2009	Y	D				Stipulated				
08-01798	Santangelo v. Fifth Third	Detroit	6/3/2008	5/19/2009	Y	D				Cs Win				
08-01816	Bufkin v. Merrill Lynch	Denver	6/4/2008	4/9/2010	Y	D				Cs Win				
08-01819	Guastello v. Smith Barney	Detroit	6/4/2008	5/5/2009	Y	D				Rs Win				
08-01910	Young v. Merrill Lynch	New York	6/11/2008	9/17/2009	Y	D				Rs Win				
08-01911	Young v. Merrill Lynch	New York	6/12/2008	9/24/2009	Y	G	x			Rs Win	40	0		0%
08-01918	Collins v. Charles Schwab	Orlando	6/11/2008	9/30/2010	Y	G	x		x	Stipulated	136.8	-1		
08-01950	Caradimitropoulo v. GunnAllen Financial	New York	6/10/2008	7/23/2010	Y	G		x		Stipulated	2000	-1		
08-01973	Green v. Charles Schwab	Cleveland	6/13/2008	4/27/2010	Y	D				Cs Win				
08-02014	Greene v. United Capital	Los Angeles	6/18/2008	10/15/2010	Y	G			x	Stipulated	600	-1		
08-02018	Hardman v. Royal Alliance	Boston	6/19/2008	4/16/2009	Y	D				Rs Win				
08-02037	Goff v. Cronan	PP	6/20/2008	2/26/2009	Y	D				Rs Win				
08-02041	Seymour v. Wachovia Securities	Jackson	6/20/2008	6/24/2010	Y	G	x			Rs Win	700	0		0%
08-02109	Smith v. Jackson	PP	6/27/2008	1/22/2009	Y	G			x	Cs Win	3	2.4	BD, Bkr	80%
08-02229	Schoen v. Salomon Smith Barney	New York	7/1/2008	10/26/2009	Y	G	x	x		Stipulated	30	-1		
08-02235	Northgate Minerals v. Jacobson	Seattle	7/7/2008	1/13/2012	Y	G			x	Stipulated	72600	-1		
08-02238	Resch v. Oppenheimer & Company	Pittsburgh	7/3/2008	1/8/2010	Y	G			x	Stipulated	1455	-1		
08-02315	Orlando v. Citigroup Global	New York	7/7/2008	6/3/2009	Y	G			x	Cs Win	200	60	BD	30%
08-02352	Pearson v. Lawson Financial	Phoenix	7/8/2008	8/18/2009	Y	G			x	Rs Win	130	0		0%
08-02377	Gardella v. Charles Schwab	Boca Raton	7/10/2008	3/13/2009	Y	G			x	Stipulated	13.6	-1		
08-02448	Sigalow v. Charles Schwab	Orlando	7/17/2008	9/23/2009	Y	G	x			Rs Win	149.2	0		0%
08-02454	Carter v. Wachovia Securities	Boca Raton	7/14/2008	7/21/2009	Y	D				Cs Win				

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08-02498	Waretown Properties v. E*Trade Securities	New York	7/21/2008	11/24/2009	Y	G			x	Cs Win	79.3	94.3	BD	119%
08-02515	Marsh v. Clinard	Charlotte	7/16/2008	4/28/2009	Y	D				Rs Win				
08-02586	Powers v. Schwarz	PP	7/25/2008	12/1/2009	Y	G			x	Rs Win	25	0		0%
08-02599	Rubin v. UBS Financial	Boca Raton	7/24/2008	4/20/2009	Y	G		x		Stipulated	300	-1		
08-02618	Marcadis v. Citigroup Global	Clearwater	7/28/2008	12/23/2009	Y	D				Rs Win				
08-02620	Ritchie v. Dakota Securities	Boca Raton	7/28/2008	2/1/2010	Y	G			x	Stipulated	800	-1		
08-02628	Bjelland v. Dougherty	PP	7/29/2008	4/9/2009	Y	G		x		Rs Win	7.9	0		0%
08-02639	International Capital v. Bear Stearns	Chicago	7/25/2008	1/13/2011	Y	D				Rs Win				
08-02659	Underwood v. Brownstein	Newark	7/30/2008	8/3/2009	Y	D				Rs Win				
08-02721	Hurt v. Black	Louisville	8/4/2008	6/23/2009	Y	G	x			Rs Win	8	0		0%
08-02743	Melnitzer Trust v. Wells Fargo	San Francisco	8/1/2008	9/21/2009	Y	D				Rs Win				
08-02791	Quigley v. Tuite	Newark	8/8/2008	1/13/2010	Y	D				Cs Win				
08-02838	RPM 06 v. Morgan Stanley	PP	8/12/2008	4/8/2009	Y	G	x		x	Rs Win	4.2	0		0%
08-02851	Doerner v. EPlanning Securities	San Francisco	8/7/2008	4/15/2010	Y	G	x	x	x	Stipulated	225	-1		
08-02854	Raphael v. RBC Dain Rauscher	Rochester	8/11/2008	12/31/2009	Y	G		x		Cs Win	450	50	BD	11%
08-02857	GSI Commerce v. Lehman Brothers	Philadelphia	8/13/2008	12/28/2009	Y	G		x	x	Rs Win	7161.3	0		0%
08-02897	Agee v. Wedbush Morgan	San Diego	8/4/2008	7/17/2009	Y	D				Cs Win				
08-02905	Rogovin v. Charles Schwab	Cincinnati	8/28/2008	3/3/2010	Y	G			x	Stipulated	592	-1		
08-02928	Kuhlmann v. Liberty Partners	Kansas City	8/18/2008	5/1/2009	Y	G			x	Stipulated	315	-1		
08-02945	Casey v. Nocella	PP	8/21/2008	3/12/2009	Y	G	x			Rs Win	23.3	0		0%
08-02954	Thompson v. Charles Schwab	Boise	8/21/2008	8/26/2009	Y	D				Cs Win				
08-02958	Rasmussen v. LPL Financial	Chicago	8/21/2008	7/26/2010	Y	D				Rs Win				
08-03006	Guthrie v. Merrill Lynch	Birmingham	8/26/2008	12/29/2010	Y	G	x			Rs Win	0	0		
08-03023	Clark v. Charles Schwab	Los Angeles	8/18/2008	11/12/2010	Y	G			x	Stipulated	35.1	-1		
08-03042	Ross v. E*Trade Securities	Jackson	8/28/2008	5/29/2009	Y	G	x	x	x	Stipulated	300	-1		
08-03050	St. Onge v. Financial Management	Little Rock	8/27/2008	10/23/2009	Y	D				Cs Win				

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08-03082	Chilinski v. TD Ameritrade	PP	8/25/2008	4/2/2009	Y	D				Cs Win				
08-03101	Powell v. GunnAllen Financial	New York	9/4/2008	12/29/2009	N	G	x		x	Stipulated	100	-1		
08-03169	Martinez v. Rubin	San Francisco	9/8/2008	11/4/2009	Y	G			x	Cs Win	139.8	87.8	BD, Bkr	63%
08-03174	Kaplan v. Stone & Youngberg	San Francisco	9/4/2008	11/5/2010	Y	G			x	Stipulated	2000	-1		
08-03323	Seifert v. UBS Financial	Chicago	9/15/2008	12/18/2009	Y	D				Cs Win				
08-03335	Colcolough v. UBS Financial	Washington	9/16/2008	10/5/2010	Y	D				Rs Win				
08-03389	Game Tech v. Hansalik	Reno	9/19/2008	3/27/2012	Y	G	x	x		Stipulated	1100	-1		
08-03399	Johnson v. Andrew Garrett	Columbia	9/16/2008	2/28/2011	Y	G	x	x	x	Stipulated	200	-1		
08-03406	Overbay v. Newman	PP	9/22/2008	7/30/2009	Y	D				Cs Win				
08-03409	Seidman v. Morgan Keegan	Atlanta	9/18/2008	9/10/2009	Y	D				Cs Win				
08-03431	Costa v. Morgan Stanley	Newark	9/24/2008	10/23/2009	Y	D				Cs Win				
08-03527	Castellano v. Mieras	Philadelphia	9/30/2008	2/24/2010	Y	G	x			Rs Win	253.3	0		0%
08-03537	Burstein v. UBS Financial	San Francisco	9/24/2008	3/25/2009	Y	G		x		Cs Win	37.5	1.6	BD-$0.8, Bkr-$0.8 (G)	4%
08-03538	Anderson v. Charles Schwab	Phoenix	9/30/2008	10/30/2009	Y	D				Stipulated				
08-03571	Ackerman v. Dokken	Tampa	10/1/2008	3/5/2010	Y	D				Cs Win				
08-03676	Chan v. Parish	Birmingham	10/3/2008	2/22/2010	Y	G		x		Cs Win	170	8.2	BD	5%
08-03702	Hodgin v. Whitaker Securities	Omaha	10/9/2008	5/11/2010	Y	G			x	Stipulated	300	-1		
08-03820	Law v. Wells Fargo	Los Angeles	10/17/2008	7/10/2009	Y	G		x		Rs Win	22	0		0%
08-03828	Benoit v. Spohler	New York	10/20/2008	1/5/2010	Y	D				Rs Win				
08-03838	Laskin v. Banc of America	Los Angeles	10/16/2008	3/25/2010	Y	G			x	Stipulated	100	-1		
08-03839	Crim v. Fox	Portland	10/15/2008	4/30/2010	Y	G	x	x		Stipulated	0	-1		
08-03840	Kay v. UBS Financial	Richmond	10/20/2008	9/25/2009	Y	G			x	Rs Win	12.3	0		0%
08-03867	Muns v. Edward D Jones	Houston	10/21/2008	10/12/2009	Y	G		x		Rs Win	13.9	0		0%
08-03874	Coulter v. Commonwealth Equity	Seattle	10/21/2008	11/24/2009	Y	G		x		Cs Win	155.7	85	BD, Bkr	55%
08-03931	Dooley v. Wachovia Securities	Fort Lauderdale	10/22/2008	10/6/2009	Y	G		x		Rs Win	100	0		0%

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08-03946	Helms v. Wachovia Securities	Columbia	10/23/2008	11/17/2009	Y	G	x	x		Rs Win	523.4	0		0%
08-03952	Garcia v. Gilford Securities	San Diego	10/22/2008	2/1/2010	Y	G			x	Rs Win	400	0		0%
08-03959	Delurey v. Merrill Lynch	PP	10/24/2008	7/9/2009	Y	G		x		Rs Win	23.5	0		0%
08-03976	Mellul v. M Holdings	Chicago	10/28/2008	8/12/2010	Y	G			x	Stipulated	1000	-1		
08-03982	Virginia Lake Townhouses v. RBC Capital Markets	Los Angeles	10/27/2008	5/18/2010	Y	D				Cs Win				
08-04010	Rose v. Dolan	PP	10/30/2008	4/17/2009	Y	D				Rs Win				
08-04027	Verma v. AG Edwards	Houston	10/30/2008	3/26/2010	Y	D				Cs Win				
08-04042	Bentz v. Morgan Keegan	Nashville	10/31/2008	9/29/2010	Y	D				Rs Win				
08-04048	Toskey v. Charles Schwab	Seattle	12/4/2008	1/24/2011	Y	G			x	Stipulated	76.3	-1		
08-04049	Christianson v. Morgan Keegan	Denver	10/30/2008	6/4/2010	Y	D				Cs Win				
08-04100	Austin v. Citigroup Global	Los Angeles	11/5/2008	3/14/2012	Y	G		x		Stipulated	500	-1		
08-04107	Wein v. Merrill Lynch	Philadelphia	11/6/2008	4/5/2010	Y	G		x		Stipulated	661.3	-1		
08-04144	Myers v. Knisley	New York	11/7/2008	10/6/2010	Y	G	x	x	x	Rs Win	747	0		0%
08-04168	Sawhney v. TD Ameritrade	New Orleans	11/10/2008	11/20/2009	Y	G	x	x	x	Rs Win	1500	0	Cmr	0%
08-04257	Orlick v. Charles Schwab	San Francisco	11/17/2008	12/27/2010	Y	G	x	x	x	Stipulated	40.2	-1		
08-04273	Schabot v. Wachovia Securities	Albany	11/17/2008	3/25/2010	Y	G	x			Stipulated	232	-1		
08-04279	Plesser v. SunTrust Investment	Boca Raton	11/17/2008	9/17/2009	Y	G		x		Stipulated	253.4	-1		
08-04321	Shah v. Merrill Lynch	Tampa	11/14/2008	2/1/2010	Y	D				Cs Win				
08-04330	Silverman v. Stifel Nicolaus	New York	11/18/2008	3/11/2010	Y	D				Stipulated				
08-04352	Lieberman v. Merrill Lynch	New York	11/17/2008	12/30/2009	Y	G		x		Rs Win	57.4	0		0%
08-04373	Braun v. Wachovia Securities	Portland	11/17/2008	6/4/2010	Y	D				Rs Win				
08-04392	DaPuzzo v. Myers	New York	11/21/2008	12/29/2009	Y	D				Rs Win				
08-04394	Levin v. Lehman Brothers	Philadelphia	11/21/2008	2/28/2011	Y	D				Rs Win				
08-04432	Manjarrez v. Hess	Boston	11/24/2008	5/21/2010	Y	D				Rs Win				
08-04433	Page v. Rosen	PP	11/24/2008	6/10/2009	Y	D				Cs Win				
08-04434	Bauhaus v. Goldman	Philadelphia	11/24/2008	10/28/2009	Y	G	x			Rs Win	250	0		0%

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08-04438	Nilipour v. TD Ameritrade	Birmingham	11/24/2008	7/15/2010	Y	G	x	x	x	Stipulated	0	-1		
08-04460	Gibbons v. Citigroup Global	Chicago	11/25/2008	12/15/2009	Y	G	x	x		Rs Win	137.5	0		0%
08-04462	Matt v. Charles Schwab	Minneapolis	11/24/2008	1/20/2011	Y	G		x	x	Stipulated	500	-1		
08-04465	Grafton v. Brookshire Securities	Orlando	11/25/2008	9/21/2009	Y	D				Cs Win				
08-04482	Schaper v. Olivo	New York	11/26/2008	2/8/2011	Y	G	x	x	x	Stipulated	1025.5	-1		
08-04493	Professional Properties v. SunTrust Investment	Boca Raton	11/28/2008	11/16/2009	Y	G		x		Stipulated	160	-1		
08-04505	Miles v. Wachovia Securities	Kansas City	11/21/2008	7/22/2009	Y	D				Rs Win				
08-04526	Hannigan v. Brecek	Los Angeles	12/1/2008	4/24/2012	Y	G		x		Stipulated	162.6	-1		
08-04540	Neves v. Chase Investment	Seattle	11/26/2008	3/25/2010	N	G		x		Rs Win	4700	0		0%
08-04585	Kozupsky v. RBC Dain Rauscher	New York	11/20/2008	8/6/2009	Y	G			x	Stipulated	333.3	-1		
08-04586	Staton Family v. Merrill Lynch	Boca Raton	12/4/2008	7/21/2011	Y	D				Cs Win				
08-04604	Lucas v. Broad Street	Detroit	12/4/2008	11/6/2009	Y	D				Cs Win				
08-04668	Akers v. Citigroup Global	Hartford	12/9/2008	5/21/2010	Y	D				Rs Win				
08-04690	Wittkopf v. Carleton	New Orleans	12/5/2008	8/4/2010	Y	D				Cs Win				
08-04697	Andalman v. Charles Schwab	Chicago	12/9/2008	6/10/2011	Y	G			x	Stipulated	49	-1		
08-04698	Brown v. UBS Financial	New York	12/10/2008	5/21/2010	Y	D				Rs Win				
08-04701	Edwards v. Charles Schwab	San Francisco	12/9/2008	9/23/2009	Y	G			x	Cs Win	167.8	25	BD	15%
08-04709	Gimbel v. DeGroat	New York	12/11/2008	5/6/2010	Y	D				Rs Win				
08-04753	Aronson v. Prestige Financial	New York	12/15/2008	11/5/2010	Y	D				Cs Win				
08-04763	West v. Newbridge Securities	Boca Raton	12/9/2008	6/16/2011	Y	G		x		Rs Win	250	0		0%
08-04774	Vanek v. UBS Financial	Chicago	12/8/2008	4/1/2010	Y	G		x	x	Stipulated	100	-1		
08-04776	Pepp v. Alliance Berstein	Los Angeles	12/15/2008	11/10/2011	Y	G		x		Rs Win	0	0		
08-04797	Whitener v. Haney	PP	12/16/2008	6/9/2009	Y	D				Cs Win				
08-04804	Toledano v. Merrill Lynch	Fort Lauderdale	12/16/2008	11/8/2010	Y	D				Rs Win				
08-04863	Adkins v. Morgan Keegan	Louisville	12/17/2008	5/7/2010	Y	D				Rs Win				

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08-04884	Young v. Morgan Keegan	Louisville	12/28/2008	5/12/2010	Y	D				Rs Win				
08-04902	Davis v. Morgan Keegan	Jackson	12/22/2008	5/13/2010	Y	D				Cs Win				
08-04912	Hunt v. Brookstreet Securities	Los Angeles	12/22/2008	8/19/2010	Y	G			x	Stipulation	10000	-1		
08-04924	Chang v. McGinn Smith	Philadelphia	12/22/2008	12/31/2009	Y	G			x	Cs Win	2577	805.1	BD, Bkr	31%
08-05012	Morlas v. RBC Dain Rauscher	Los Angeles	12/23/2008	2/24/2010	Y	G	x	x	x	Stipulated	25	-1		
08-05016	Gordon v. PFS Investments	Los Angeles	12/29/2008	1/3/2011	Y	D				Cs Win				
09-00003	McDonald v. SA Ramirez	New York	12/30/2008	3/10/2010	Y	D				Cs Win				
09-00011	Dworkin v. Citigroup Global	Boca Raton	12/30/2008	12/4/2012	N	G	x			Stipulated	1000	-1		
09-00039	Williams v. Morgan Keegan	St. Louis	12/30/2008	10/12/2010	Y	D				Rs Win				
09-00059	George v. FMSbonds Incorporated	Boca Raton	1/5/2009	6/25/2010	Y	D				Stipulated				
09-00067	Rumelt v. Fielding	New York	1/5/2009	12/10/2009	Y	D				Cs Win				
09-00088	Andreas v. Charles Schwab	Los Angeles	12/31/2008	7/15/2010	Y	G	x	x		Clm Wthdn	349.9	0		0%
09-00120	Page v. Brookstreet Securities	Portland	1/7/2009	7/22/2010	Y	G			x	Stipulated	9000	-1		
09-00200	Grimes v. 1717 Capital	Cincinnati	1/8/2009	11/22/2010	Y	D				Rs Win				
09-00203	Graf v. Charles Schwab	San Francisco	1/12/2009	9/14/2010	Y	G			x	Stipulated	51.3	-1		
09-00268	Aoki v. National Financial	Honolulu	1/14/2009	2/3/2011	Y	G			x	Stipulated	3000	-1		
09-00288	Har Nebo v. Merrill Lynch	Philadelphia	1/16/2009	2/9/2010	Y	G	x		x	Rs Win	1122	0		0%
09-00294	Schecter v. Citigroup Global	New York	1/20/2009	8/6/2010	Y	G	x	x	x	Stipulated	3500	-1		
09-00303	Lahare v. McCullough	New Orleans	1/12/2009	3/10/2010	Y	G	x	x	x	Rs Win	80.6	0		0%
09-00314	Iafrate v. Wachovia Securities	San Diego	1/14/2009	4/29/2010	Y	D				Cs Win				
09-00339	Annino v. Wells Fargo	Los Angeles	1/9/2009	12/20/2010	Y	D				Cs Win				
09-00351	Katz v. Wong	Albany	1/21/2009	6/17/2010	Y	G		x		Rs Win	101.7	0		0%
09-00352	Anand v. Granite Securities	New York	1/21/2009	3/14/2011	Y	D				Cs Win				
09-00357	Lyman v. Marshall	Tampa	1/21/2009	10/30/2009	Y	G		x		Stipulated	120	-1		
09-00360	Johnson v. AG Edwards	Oklahoma City	1/16/2009	4/28/2010	Y	G		x		Cs Win	0	211.1	BD	
09-00381	Meyer v. Bingham	Manchester	1/22/2009	1/26/2011	Y	G			x	Stipulated	23	-1		

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09-00383	JNG Consulting v. Dawson James	Boca Raton	1/23/2009	2/4/2010	Y	G			x	Stipulated	114	-1		
09-00388	Prasil v. Ameriprise Financial	Minneapolis	1/16/2009	2/19/2010	Y	G	x		x	Stipulated	293.9	-1		
09-00399	Corp v. SunTrust Investment	Orlando	1/23/2009	12/10/2009	N	G	x			Rs Win	949.4	0		0%
09-00403	Lam v. Charles Schwab	San Francisco	1/22/2009	3/14/2011	Y	G			x	Stipulated	0	-1		
09-00405	Benefield v. Wachovia Securities	Los Angeles	1/22/2009	1/29/2010	Y	D				Cs Win				
09-00410	Bailey v. WRP Investments	Columbus	1/23/2009	11/15/2010	Y	D				Rs Win				
09-00415	Blau v. Charles Schwab	Chicago	1/16/2009	9/7/2010	Y	G		x	x	Stipulated	0	-1		
09-00431	Popesco v. Barclays Capital	Boca Raton	1/26/2009	5/26/2010	Y	G			x	Stipulated	2500	-1		
09-00444	Presti v. PNC Investments	Philadelphia	1/27/2009	3/16/2010	Y	G		x		Rs Win	172.5	0		0%
09-00448	Rosenfeld v. Raymond James	Philadelphia	1/27/2009	3/18/2010	Y	D				Cs Win				
09-00450	Doran v. RBC Wealth Management	Dallas	1/16/2009	4/14/2011	Y	D				Rs Win				
09-00543	Sapp v. ING Financial	Washington	1/27/2009	7/16/2012	Y	D				Cs Win				
09-00565	Tasko v. Buonanno	New York	1/29/2009	8/25/2011	Y	G		x		Rs Win	500	0		0%
09-00623	Dickerson v. Merrill Lynch	Baltimore	2/5/2009	12/15/2009	Y	G		x		Rs Win	103	0		0%
09-00638	Wood v. Kearney	PP	2/2/2009	9/14/2009	Y	G			x	Rs Win	14.3	0		0%
09-00652	Loggins v. Merrill Lynch	Detroit	1/31/2009	3/3/2010	Y	D				Cs Win				
09-00708	Horowitz v. E*Trade Securities	San Francisco	2/10/2009	2/3/2010	Y	G			x	Cs Win	1000	644	BD, Bkr	64%
09-00711	Northern Lights v. Oppenheimer & Company	Portland	2/5/2009	8/18/2010	Y	G			x	Stipulated	10750	-1		
09-00745	Gunter v. Whitaker Securities	Richmond	2/11/2009	1/8/2010	Y	D				Stipulated				
09-00748	Evans v. Bober	Boca Raton	4/8/2009	10/28/2009	Y	G			x	Rs Win	192.5	0		0%
09-00755	Gasselle v. Merrill Lynch	San Diego	2/12/2009	4/9/2010	Y	G		x		Rs Win	50.5	0		0%
09-00757	Whitney v. Edward D Jones	Houston	2/11/2009	12/22/2009	Y	G		x		Rs Win	45	0		0%
09-00785	Van De Wettering v. Stifel Nicolaus	Milwaukee	2/10/2009	2/10/2010	Y	G	x			Rs Win	61.3	0		0%
09-00795	Neira v. Bristol Financial	New York	2/13/2009	4/4/2011	Y	G			x	Stipulated	1365.8	-1		
09-00796	Roslund v. Gabriel	Charlotte	2/17/2009	12/21/2009	Y	G		x	x	Stipulated	99.1	-1		

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09-00809	Krever v. Citigroup Global	Boca Raton	2/12/2009	4/30/2010	Y	G	x			Rs Win	72	0		0%
09-00813	Searcy v. Citigroup Global	Las Vegas	2/12/2009	3/19/2010	Y	D				Cs Win				
09-00840	Parry v. Jernigan	Boca Raton	2/18/2009	2/12/2010	Y	G		x		Cs Win	61.7	0.3	BD	0%
09-00846	Morehead v. Wachovia Securities	Houston	2/17/2009	10/29/2010	Y	G		x	x	Rs Win	350	0		0%
09-00854	Kolikow v. H&R Block	Miami	2/13/2009	1/28/2010	Y	G		x	x	Stipulated	60	-1		
09-00861	Howard v. Wells Fargo	New York	2/18/2009	9/1/2009	Y	G		x		Stipulated	187.2	-1		
09-00866	August v. Wedbush Morgan	New York	2/17/2009	1/14/2010	Y	D				Stipulated				
09-00880	Bagne v. JP Morgan	Detroit	2/18/2009	6/16/2011	Y	G	x	x	x	Rs Win	22000	0		0%
09-00909	Planck v. UBS Financial	Phoenix	2/19/2009	4/19/2010	Y	G		x		Clm Wthdn	500	0		0%
09-00921	Foglia v. Vanore	Newark	2/12/2009	8/3/2010	Y	D				Rs Win				
09-00949	Reddy v. NSM Securities	Orlando	2/20/2009	2/12/2010	Y	D				Rs Win				
09-00992	Christopherson-Wall v. Charles Schwab	Seattle	2/20/2009	4/20/2010	N	D				Cs Win				
09-01033	Blake v. JB Hanauer	Boca Raton	2/20/2009	12/30/2009	Y	G	x	x	x	Rs Win	27	0		0%
09-01037	Ceccoli v. Merrill Lynch	Atlanta	2/25/2009	11/10/2010	Y	D				Rs Win				
09-01057	Micley v. Gilford Securities	Boston	2/27/2009	1/18/2011	Y	G	x			Stipulated	100	-1		
09-01078	Lustig v. UBS Financial	PP	2/23/2009	9/15/2009	Y	D				Cs Win				
09-01093	Fangman v. RBC Dain Rauscher	Omaha	2/27/2009	11/23/2009	Y	G		x		Stipulated	750	-1		
09-01102	Linden Pasadena v. Citigroup Global	Los Angeles	2/25/2009	12/2/2010	Y	G	x			Rs Win	547.5	0		0%
09-01140	Nesting v. Morgan Stanley	Portland	2/23/2009	3/2/2010	Y	D				Cs Win				
09-01142	Sullivan v. Edward Jones	San Francisco	2/26/2009	8/3/2010	Y	G		x		Rs Win	64.5	0		0%
09-01152	Sensual Fashions v. Wedbush Morgan	Hartford	3/2/2009	12/3/2009	BD only	D				Cs Win				
09-01178	Carthew v. JP Turner & Company	New York	3/4/2009	8/31/2010	Y	D				Cs Win				
09-01187	Danielewski v. Avellar	Richmond	3/4/2009	4/7/2010	Y	G	x			Stipulated	0	-1		
09-01189	Wyatt v. Charles Schwab	Los Angeles	3/4/2009	10/1/2010	Y	G	x		x	Stipulated	166.5	-1		
09-01190	Jones v. Charles Schwab	San Francisco	3/4/2009	9/15/2010	Y	G	x	x	x	Stipulated	38.4	-1		

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09-01200	Bryant v. Morgan Stanley	Dallas	3/2/2009	9/17/2010	Y	G		x		Rs Win	400	0		0%
09-01309	Lucido v. Oppenheimer & Company	Detroit	3/5/2009	12/10/2009	Y	D				Cs Win				
09-01310	deMontel v. UBS Financial	PP	3/9/2009	10/27/2009	Y	G		x		Rs Win	6.9	0		0%
09-01331	Meisner v. Citigroup Global	Houston	3/11/2009	8/1/2011	Y	G		x		Rs Win	182.7	0		0%
09-01333	Grant v. Sagepoint Financial	San Francisco	3/11/2009	9/20/2010	Y	D				Cs Win				
09-01369	Jordan v. RBC Dain Rauscher	Seattle	3/10/2009	5/27/2011	N	G	x			Stipulated	86.5	-1		
09-01381	Girgenti v. Janney Montgomery	New York	3/12/2009	5/26/2010	Y	G		x		Clm Wthdn	160	0		0%
09-01392	D'Antonio v. Aloi	Syracuse	3/11/2009	11/15/2011	Y	G			x	Rs Win	3000	0		0%
09-01414	Speights v. UBS Financial	PP	3/13/2009	10/27/2009	Y	G	x			Rs Win	25	0		0%
09-01421	Scharff v. AG Edwards	New York	3/11/2009	3/24/2010	Y	D				Rs Win				
09-01425	Smith v. TD Ameritrade	Raleigh	3/16/2009	3/23/2010	Y	G	x	x		Rs Win	75	0		0%
09-01436	Jones v. Nexcore Capital	Los Angeles	3/11/2009	12/1/2010	Y	D				Cs Win				
09-01481	Parente v. Merrill Lynch	New York	3/18/2009	6/10/2010	N	G		x		Rs Win	215.5	0		0%
09-01540	Korenek v. Stephens Incorporated	Houston	3/10/2009	6/9/2010	Y	G	x			Rs Win	1400	0		0%
09-01591	Wortman v. UVEST Financial	Raleigh	3/24/2009	4/7/2010	N	D				Rs Win				
09-01606	Jones v. Merrill Lynch	Columbus	3/18/2009	3/9/2010	Y	D				Cs Win				
09-01631	Painter v. Merrill Lynch	Orlando	3/23/2009	5/5/2010	N	G		x		Cs Win	69.2	32.5	BD	47%
09-01635	Love v. Merrill Lynch	San Francisco	3/20/2009	12/16/2009	Y	D				Rs Win				
09-01667	Aboud v. Wachovia Securities	Los Angeles	3/16/2009	5/3/2010	Y	G		x		Rs Win	50	0		0%
09-01685	Ching v. Charles Schwab	Honolulu	3/24/2009	6/18/2010	Y	G			x	Stipulated	26	-1		
09-01700	Sekas v. Legakis	New York	3/30/2009	8/18/2011	Y	G	x			Rs Win	687	0		0%
09-01705	Tortora v. Fidelity Brokerage	New York	3/27/2009	12/16/2009	Y	G			x	Rs Win	300	0		0%
09-01730	Prekosovich v. Charles Schwab	Chicago	3/27/2009	7/22/2010	Y	G	x			Stipulated	100	-1		
09-01757	Gerowitz v. Citigroup Global	New York	4/1/2009	5/24/2010	Y	D				Cs Win				
09-01764	Shore v. Citigroup Global	New York	4/1/2009	3/1/2010	Y	D				Rs Win				

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09-01769	Stora v. Strasbourger Pearson	New York	4/1/2009	1/14/2011	Y	G	x			Cs Win	0	474	BD, Bkr	
09-01776	Bleichfeld v. Simon	New York	3/30/2009	4/23/2010	Y	G			x	Rs Win	15	0		0%
09-01817	Cross v. Russini	Fort Lauderdale	4/14/2009	11/11/2010	Y	G	x	x	x	Stipulated	1300	-1		
09-01865	Morrow v. Wedbush Morgan	San Francisco	4/3/2009	9/2/2010	Y	D				Cs Win				
09-01871	Stolpe v. RBC Capital	Minneapolis	4/3/2009	2/11/2011	Y	D				Cs Win				
09-01881	Klausman v. J Alden & Associates	Philadelphia	4/6/2009	6/7/2010	Y	D				Rs Win				
09-01893	Belinkie v. Hill	New York	4/8/2009	2/4/2010	Y	G		x		Rs Win	40	0		0%
09-01900	Roth v. JJB Hilliard	St. Louis	4/6/2009	2/2/2010	Y	D				Cs Win				
09-01923	Joseph v. E*Trade Securities	Boston	4/8/2009	3/14/2011	Y	G		x		Stipulated	0	-1		
09-01961	Brown v. Wachovia Securities	Chicago	4/3/2009	1/21/2011	Y	G	x			Rs Win	616.2	0		0%
09-01995	Hankinson v. Brooks	Tampa	4/6/2009	3/30/2010	Y	D				Rs Win				
09-02018	Appleby v. Wachovia Securities	Boca Raton	4/6/2009	9/13/2010	Y	G	x			Stipulated	280	-1		
09-02029	Brown v. Pomerantz	Newark	4/10/2009	2/3/2011	Y	G	x		x	Rs Win	240	0		0%
09-02053	Thermo Dynamics v. Charles Schwab	Phoenix	4/13/2009	11/4/2010	N	G			x	Stipulated	398.5	-1		
09-02059	Quiros v. Merrill Lynch	Los Angeles	4/8/2009	11/18/2010	Y	D				Cs Win				
09-02063	Shuford v. Morgan Keegan	Dallas	4/9/2009	7/23/2010	Y	D				Cs Win				
09-02077	ACTS Capital v. Alterna Capital	Boca Raton	4/13/2009	1/8/2010	Y	G		x	x	Stipulated	3000	-1		
09-02082	Hanks v. Raymond James	Orlando	4/8/2009	12/20/2010	Y	G			x	Rs Win	0	0		
09-02090	Carle v. Brown	Raleigh	4/13/2009	7/12/2012	Y	G	x	x	x	Rs Win	2848.3	0	Cmr	0%
09-02095	Braden v. Merrill Lynch	Atlanta	4/15/2009	7/29/2011	Y	G	x			Rs Win	225	0		0%
09-02108	Ashlock v. Arvest Asset	Oklahoma City	4/7/2009	10/7/2010	Y	G	x	x		Stipulated	25.9	-1		
09-02121	Turner v. Osur	Los Angeles	4/16/2009	4/18/2011	Y	G	x			Rs Win	150	0		0%
09-02155	Currie v. Citigroup Global	New York	4/17/2009	5/26/2011	N	G	x	x		Rs Win	4500	0		0%
09-02156	Dame v. Maxwell	Boston	4/17/2009	7/22/2010	Y	D				Rs Win				
09-02171	Hojecki v. Calton & Associates	Fort Lauderdale	4/17/2009	1/26/2010	Y	D				Cs Win				
09-02175	Eisenstein v. Meyers	Washington	4/17/2009	11/2/2010	Y	G	x			Cs Win	800	269.3	BD	34%

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09-02178	Zilkha v. Merrill Lynch	New York	4/15/2009	7/14/2011	Y	G	x	x		Stipulated	175	-1		
09-02201	Kurstin v. Citigroup Global	Boca Raton	4/17/2009	8/13/2010	N	D				Cs Win				
09-02203	Domiter v. Edward D Jones	Charlotte	4/20/2009	3/17/2010	Y	D				Cs Win				
09-02243	Green v. Citigroup Global	New York	4/23/2009	4/21/2010	N	G			x	Rs Win	375.1	0		0%
09-02259	Lesmir Incorporated v. Wedbush Securities	Seattle	4/22/2009	11/11/2010	Y	D				Cs Win				
09-02279	Sproviero v. Fay	Newark	4/20/2009	7/28/2010	Y	D				Rs Win				
09-02283	Pashenkov v. Wachovia Securities	PP	4/23/2009	2/11/2010	Y	D				Cs Win				
09-02318	Yabkow v. Citigroup Global	New York	4/27/2009	9/30/2010	Y	G			x	Stipulated	360	-1		
09-02358	Smith v. Gardner	Phoenix	4/24/2009	2/11/2010	Y	G	x			Rs Win	64.3	0		0%
09-02365	Hillman v. UBS Financial	St. Louis	4/23/2009	11/17/2010	Y	D				Cs Win				
09-02380	Rappoport v. Banc of America	Orlando	4/27/2009	6/15/2010	Y	G		x	x	Rs Win	45	0		0%
09-02391	Fenster v. JP Morgan	Los Angeles	4/27/2009	3/16/2011	Y	G		x		Stipulated	2334.4	-1		
09-02395	Wolfe v. Edward D Jones	PP	4/28/2009	10/22/2009	Y	D				Rs Win				
09-02397	Chayka v. Janney Montgomery	Philadelphia	4/30/2009	9/2/2010	Y	G	x	x		Stipulated	63	-1		
09-02399	Licht v. Charles Schwab	Newark	4/30/2009	3/16/2011	Y	G			x	Stipulated	79.8	-1		
09-02418	Patton v. Wells Fargo	Los Angeles	4/30/2009	10/11/2010	N	G	x	x		Rs Win	507.9	0		0%
09-02448	Stiffel v. Bluechip Securities	Boca Raton	4/27/2009	10/1/2010	Y	D				Cs Win				
09-02459	Maher v. Pacific West	Portland	4/29/2009	7/13/2010	Y	D				Cs Win				
09-02467	Hsu v. UBS Financial	San Francisco	4/28/2009	8/16/2010	Y	G	x	x		Rs Win	0	0		
09-02491	Okasaki v. Citigroup Global	Las Vegas	4/29/2009	9/23/2010	Y	D				Cs Win				
09-02500	Dankman v. Brookstreet Securities	Boca Raton	4/29/2009	11/13/2009	Y	G			x	Stipulated	4000	-1		
09-02544	Agamalian v. Farah	Los Angeles	5/5/2009	2/10/2012	Y	D				Rs Win				
09-02570	Lane v. Merrill Lynch	Houston	5/4/2009	5/20/2010	N	D				Rs Win				
09-02581	Gammill v. Friday	Dallas	5/7/2009	11/23/2009	Y	D				Rs Win				
09-02583	Castaneda v. Chase Investment	Los Angeles	5/5/2009	11/29/2011	Y	G	x			Rs Win	113.6	0		0%
09-02630	Dunning v. Shafiroff	New York	5/11/2009	12/2/2010	Y	G		x		Rs Win	12700	0		0%

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09-02638	Malanga v. Lincoln Financial	Newark	5/9/2009	1/3/2011	Y	D				Cs Win				
09-02641	Sawyer v. Horwitz & Associates	San Diego	5/6/2009	4/27/2011	Y	D				Rs Win				
09-02644	Jamail v. Merrill Lynch	Houston	5/6/2009	7/23/2010	Y	D				Rs Win				
09-02659	Resnick v. Citigroup Global	Boca Raton	5/5/2009	5/4/2010	N	D				Cs Win				
09-02672	Carter v. First Allied	Los Angeles	5/8/2009	11/29/2011	Y	D				Stipulated				
09-02683	Czelusniak v. Borello	Hartford	5/7/2009	3/2/2010	Y	G			x	Rs Win	30	0		0%
09-02687	Smith v. RBC Capital	Rochester	5/12/2009	5/11/2010	Y	D				Cs Win				
09-02703	Tolson v. Wachovia Securities	San Francisco	5/11/2009	6/3/2010	Y	G	x			Clm Wthdn	900	0		0%
09-02725	Hughes v. Wells Fargo	Denver	5/12/2009	6/3/2010	Y	G		x		Rs Win	542.9	0		0%
09-02748	Boyer v. Wachovia Securities	Reno	5/14/2009	8/23/2010	Y	D				Cs Win				
09-02757	Burks v. iTRADEdirect.com	Dallas	5/13/2009	7/9/2010	Y	D				Rs Win				
09-02764	Bourie v. Davenport & Company	PP	5/13/2009	12/3/2009	Y	D				Rs Win				
09-02765	Koch v. Smith Barney	Philadelphia	5/12/2009	7/22/2010	Y	G	x			Stipulated	2500	-1		
09-02769	Simon v. Johnston Lemon	Washington	5/14/2009	1/29/2010	Y	G			x	Cs Win	1046.6	175	BD, Bkr	17%
09-02798	Cantor v. American Portfolios	Tampa	5/14/2009	9/23/2010	Y	G	x			Stipulated	146.4	-1		
09-02965	Weller v. Citigroup Global	Birmingham	5/6/2009	4/5/2011	Y	G	x			Rs Win	99.5	0		0%
09-04121	Lahare v. Mason	New Orleans	1/12/2009	7/22/2009	Y	G			x	Rs Win	248	0		0%
09-06333	Pitch v. Oppenheimer & Company	New York	1/6/2009	9/20/2011	Y	D				Stipulated				
2007-016719	Steedman v. McDonald Investments	Cleveland	4/17/2007	2/27/2008	Y	D				Rs Win				
2007-016779	Pfeifer v. TD Waterhouse	New York	7/12/2007	7/15/2009	Y	G			x	Stipulated	0	-1		

Expungement Requests in Customer-Initiated Arbitrations 5/18/09 - 12/31/12
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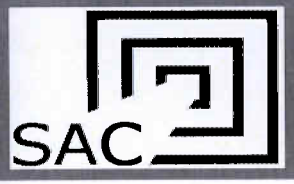

Securities Arbitration Commentator, Inc.
help@sacarbitration.com
www.sacarbitration.com
973.761.5880

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09-02143	Rey v. Wedbush Securities	Anchorage	9/11/2009	3/25/2011	Y	D				Cs Win				
09-02420	Klatte v. RBC Capital	Minneapolis	5/21/2009	12/2/2010	Y	D				Cs Win				
09-02671	Heileson v. Wells Fargo	Los Angeles	10/23/2009	10/7/2011	Y	G		x		Cs Win	0	83.1	BD	
09-02871	Wechsler v. E*Trade Securities	New York	5/19/2009	6/4/2010	N	D				Cs Win				
09-02882	Schwaush v. UBS Financial	Dallas	5/20/2009	4/8/2011	Y	G			x	Cs Win	582.4	25	BD	4%
09-02893	Steinberg v. UBS Financial	San Francisco	5/20/2009	8/18/2010	N	D				Rs Win				
09-02899	Harris v. Wachovia Securities	Columbia	5/19/2009	10/5/2010	Y	G	x		x	Rs Win	62.7	0		0%
09-02901	Indian River v. Private Capital	Boca Raton	5/20/2009	2/4/2010	Y	G	x			Rs Win	41.9	0		0%
09-02905	Robles v. Oriental Financial	San Juan	5/20/2009	4/7/2010	BD only	D				Cs Win				
09-02926	Noble v. Angelotti	Tampa	5/22/2009	11/10/2011	Y	G			x	Stipulated	1600	-1		
09-02939	Maurer v. Charles Schwab	Denver	5/20/2009	1/7/2011	Y	G			x	Stipulated	1175.3	-1		
09-02966	Smaza v. Fifth Third	Detroit	5/20/2009	10/13/2010	N	G	x			Rs Win	120	0		0%
09-02974	Heet v. Wachovia Securities	St. Louis	5/22/2009	11/16/2010	N	G			x	Stipulated	355	-1		
09-02975	Sussman v. Citigroup Global	Boca Raton	5/18/2009	1/13/2011	N	G	x	x		Stipulated	958.5	20		2%
09-02981	Minsky v. Morgan Stanley	Boca Raton	5/20/2009	5/7/2010	N	D				Cs Win				
09-02990	Metsch v. E-Planning Securities	Los Angeles	5/26/2009	5/17/2011	Y	D				Cs Win				
09-03008	Lakeson v. Vercaemert	Charlotte	5/26/2009	5/5/2010	Y	D				Cs Win				
09-03016	Tedesco v. Erickson	Las Vegas	5/21/2009	7/19/2011	Y	G		x		Stipulated	245	-1		
09-03062	Dixon v. UBS Financial	Baltimore	5/26/2009	6/3/2010	Y	D				Rs Win				
09-03076	Zaucha v. Raymond James	Chicago	5/21/2009	6/11/2010	Y	D				Rs Win				
09-03077	Tynan v. Citigroup Global	San Francisco	5/27/2009	11/29/2010	N	D				Cs Win				
09-03222	Cacace v. Ameriprise Financial	New York	5/26/2009	6/28/2011	N	G	x	x		Stipulated	100	-1		
09-03243	Q Investments v. Morgan Stanley	Las Vegas	5/28/2009	5/12/2010	N	G			x	Cs Win	96	117.7	BD	123%

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09-03249	Ferrini v. RBC Capital	San Francisco	5/28/2009	12/21/2009	Y	G		x	x	Stipulated	89.1	-1		
09-03250	Cole v. Wells Fargo	Los Angeles	5/26/2009	5/7/2010	Y	D				Cs Win				
09-03251	Hagman v. Citigroup Global	Los Angeles	5/29/2009	10/6/2010	N	D				Cs Win				
09-03271	Carenza v. UMB Financial	St. Louis	5/27/2009	2/12/2010	N	G		x		Rs Win	263	0		0%
09-03292	Forman v. Wells Fargo	Los Angeles	6/1/2009	11/17/2010	N	G	x	x		Stipulated	148	-1		
09-03299	LeVahn v. Merrill Lynch	Minneapolis	6/3/2009	6/25/2011	Y	D				Rs Win				
09-03306	Ostberg v. Citigroup Global	Newark	6/4/2009	5/24/2011	N	D				Rs Win				
09-03310	Kulbacki v. Citigroup Global	Philadelphia	6/1/2009	5/6/2010	Y	D				Rs Win				
09-03315	Vincent v. Ferris Baker	PP	6/4/2009	1/21/2010	Y	D				Rs Win				
09-03354	Adler-Carhart v. Sweet	Orlando	6/4/2009	7/22/2010	Y	D				Cs Win				
09-03359	Manos v. Morgan Stanley	Phoenix	6/4/2009	6/5/2012	N	D				Rs Win				
09-03365	Lipinski v. Stifel Nicolaus	Chicago	6/4/2009	4/26/2010	Y	D				Rs Win				
09-03429	Hagerty v. Merrill Lynch	Omaha	6/5/2009	6/8/2011	Y	D				Cs Win				
09-03437	Rote v. Morgan Keegan	Memphis	6/5/2009	2/17/2012	N	G			x	Cs Win	954	400	BD	42%
09-03448	Kaufman v. Citigroup Global	New York	6/9/2009	3/30/2010	Y	G		x		Rs Win	39.3	0		0%
09-03454	Kaufman v. Ainslie	New York	6/7/2009	3/30/2012	N	D				Rs Win				
09-03464	Hodges v. Kujawski	Washington	6/8/2009	3/14/2012	Y	G		x		Stipulated	600	-1		
09-03471	Fraser v. Wachovia Securities	Los Angeles	6/4/2009	2/14/2011	N	D				Cs Win				
09-03504	Mid Coast Builders v. Morgan Stanley	Los Angeles	6/3/2009	4/16/2010	Y	G		x		Rs Win	538.6	0		0%
09-03510	Williams v. Morgan Stanley	Los Angeles	6/5/2009	2/24/2011	Y	G			x	Stipulated	966.3	-1		
09-03526	McNeill v. Fidelity Brokerage	New York	6/10/2009	9/17/2010	Y	G		x		Cs Win	0	91.9	BD	
09-03541	Zingeser v. Pacific West	Portland	6/9/2009	1/26/2011	Y	G			x	Stipulated	917.5	-1		
09-03575	Fraley v. Chase Investment	Indianapolis	6/9/2009	4/21/2010	N	G		x		Rs Win	25	0		0%
09-03580	Thompson v. Stifel Nicolaus	St. Louis	6/12/2009	8/10/2011	Y	D				Rs Win				

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09-03589	Broughton v. Coombs	PP	6/12/2009	12/10/2009	Y	G	x			Cs Win	0.7	0.08	BD	11%
09-03601	Lang v. Merrill Lynch	Albuquerque	6/12/2009	6/14/2010	Y	D				Cs Win				
09-03602	Garcie v. Arque Capital	San Diego	6/15/2009	6/1/2012	Y	G	x	x	x	Rs Win	904.8	0		0%
09-03613	Waterlight International v. UBS Financial	New York	6/15/2009	11/22/2010	Y	G	x	x	x	Stipulated	1165.2	-1		
09-03614	Pilot v. Citigroup Global	Birmingham	6/12/2009	8/2/2010	Y	G			x	Stipulated	4000	-1		
09-03649	Summit Oak v. Merrill Lynch	Detroit	6/17/2009	9/17/2010	Y	D				Rs Win				
09-03651	Flannery v. Merrill Lynch	New York	6/17/2009	11/5/2010	N	G		x		Rs Win	2000	0		0%
09-03657	Nakano v. Wedbush Morgan	Baltimore	6/13/2009	5/12/2010	Y	G	x			Cs Win	456	106.8	BD	23%
09-03660	Portal v. Signator Investors	San Francisco	6/16/2009	2/16/2012	Y	G	x			Stipulated	215	-1		
09-03662	Lebrasca v. Wachovia Securities	Chicago	6/14/2009	6/30/2011	Y	G	x	x		Clm Wthdn	30	0		0%
09-03670	Banks v. Merrill Lynch	San Diego	6/16/2009	7/22/2011	N	G	x	x	x	Stipulated	3829.6	-1		
09-03682	Vogel v. Citigroup Global	Boston	6/18/2009	10/15/2010	Y	D				Cs Win				
09-03712	Osler v. Merrill Lynch	PP	6/19/2009	1/25/2010	N	D				Rs Win				
09-03717	Lanzalotto v. Charles Schwab	New York	6/22/2009	9/21/2010	N	G			x	Stipulated	47.2	-1		
09-03793	Keenan v. Fidelity Brokerage	New York	6/24/2009	6/30/2011	N	G		x		Stipulated	125	-1		
09-03803	Lee v. AG Edwards	San Diego	6/22/2009	2/22/2011	Y	G	x	x	x	Cs Win	86.2	34.3	BD, Bkr	40%
09-03823	Kalmbach v. RBC Capital	Philadelphia	6/17/2009	3/23/2012	N	G			x	Stipulated	3000	-1		
09-03839	Needham v. Independent Financial	San Diego	6/24/2009	10/18/2011	Y	D				Cs Win				
09-03841	Bloss v. Edward D Jones	St. Louis	6/25/2009	9/17/2010	Y	G		x		Rs Win	100	0		0%
09-03856	Greenland v. JP Morgan	New York	6/26/2009	10/22/2010	N	G		x		Rs Win	481.6	0		0%
09-03867	Neel v. Oppenheimer & Company	San Francisco	6/23/2009	9/6/2011	N	G		x		Rs Win	372	0		0%
09-03872	Thrasher v. Morgan Stanley	Los Angeles	6/22/2009	2/15/2011	Y	D				Cs Win				
09-03903	Price v. Krebs	PP	6/24/2009	12/15/2009	Y	D				Rs Win				

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09-03906	Freeman v. Morgan Keegan	Nashville	6/25/2009	12/6/2010	N	G			x	Rs Win	1000	0		0%
09-03910	Rapp v. Morgan Stanley	Detroit	6/25/2009	8/15/2011	Y	G		x		Rs Win	459.4	0		0%
09-03911	Whitesell v. Edward D Jones	Chicago	6/26/2009	8/9/2010	Y	G	x			Stipulated	100	-1		
09-03912	Hogge v. AG Edwards	Houston	6/23/2009	4/19/2011	N	G	x		x	Rs Win	400	0		0%
09-03913	Getlan v. UBS Financial	Boca Raton	6/25/2009	4/3/2012	N	G	x	x		Stipulated	4140	-1		
09-03931	Coffey v. Merrill Lynch	Los Angeles	6/26/2009	10/3/2011	N	D				Rs Win				
09-03935	Jones v. Wells Fargo	San Francisco	6/29/2009	5/27/2010	Y	D				Cs Win				
09-03951	Roberts v. Raymond James	Louisville	6/26/2009	8/27/2010	BD only	D				Cs Win				
09-03967	Burwell v. AG Edwards	Cleveland	6/30/2009	6/27/2011	N	G		x		Stipulated	250	-1		
09-03969	Kief v. Merrill Lynch	Detroit	6/29/2009	10/27/2011	Y	G	x			Rs Win	1326.7	0		0%
09-03970	Fortuna v. Wachovia Securities	Detroit	6/30/2009	8/10/2010	Y	D				Rs Win				
09-03980	Kovner v. Smith Barney	New York	7/2/2009	7/12/2011	Y	G			x	Stipulated	300	-1		
09-03986	Dell v. Charles Schwab	Fort Lauderdale	6/30/2009	7/16/2010	Y	G			x	Stipulated	113	-1		
09-04009	King v. UBS Financial	Los Angeles	7/6/2009	2/22/2011	N	G		x		Stipulated	75	-1		
09-04019	Baker v. Global Trading	Seattle	6/30/2009	7/30/2010	Y	D				Cs Win				
09-04022	Keith v. Wells Fargo	San Francisco	7/2/2009	6/25/2010	Y	G		x		Cs Win	50	5	BD, Bkr	10%
09-04025	Berger v. Morgan Stanley	Boca Raton	6/26/2009	7/7/2011	N	G	x	x		Stipulated	450	-1		
09-04028	Williams v. Charles Schwab	Tampa	6/30/2009	1/13/2011	N	G		x		Stipulated	75.5	-1		
09-04037	Bortolussi v. Ameriprise Financial	Detroit	6/29/2009	3/8/2011	Y	D				Cs Win				
09-04057	Cromwell v. Merrill Lynch	Detroit	7/23/2009	10/21/2010	Y	D				Cs Win				
09-04063	Potter v. Edward D Jones	Dallas	6/30/2009	5/27/2011	Y	G	x			Rs Win	150	0		0%
09-04066	Mann v. Citigroup Global	Milwaukee	7/1/2009	9/7/2010	N	G	x			Rs Win	138.9	0		0%
09-04136	Mirdad v. Wachovia Securities	San Francisco	7/8/2009	9/14/2010	N	D				Cs Win				

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09-04184	Nesbitt v. Merrill Lynch	San Francisco	7/11/2009	8/23/2010	Y	G	x	x		Rs Win	74	0		0%
09-04236	Ames v. Charles Schwab	Orlando	7/15/2009	7/28/2011	Y	G			x	Stipulated	122	-1		
09-04240	Lewis v. Charles Schwab	Tampa	7/15/2009	9/14/2010	Y	G			x	Stipulated	832	-1		
09-04241	Brockway v. Charles Schwab	Orlando	7/15/2009	9/15/2010	Y	G			x	Stipulated	76	-1		
09-04246	Bennett v. Ross	New York	7/15/2009	2/1/2011	Y	D				Cs Win				
09-04250	Schulman v. Edward D Jones	PP	7/16/2009	3/23/2010	Y	D				Cs Win				
09-04269	Leitner v. Fidelity Brokerage	Boca Raton	7/14/2009	4/4/2011	N	G	x	x	x	Stipulated	800	-1		
09-04271	Merryman v. First Tennessee	Memphis	7/14/2009	9/7/2010	Y	D				Rs Win				
09-04284	Mills v. Wachovia Securities	Seattle	7/14/2009	4/7/2011	N	G		x		Rs Win	1639	0		0%
09-04293	Boardman v. UBS Financial	Columbia	7/13/2009	4/30/2010	Y	G	x			Rs Win	8600	0	Cmr	0%
09-04304	Axelrod v. UBS Financial	New York	7/15/2009	11/23/2010	Y	G		x		Rs Win	647	0		0%
09-04335	McCray v. Wachovia Securities	San Francisco	7/20/2009	6/14/2010	N	G		x		Rs Win	748.1	0		0%
09-04336	Bell v. Rudwall	San Francisco	7/17/2009	10/12/2010	Y	G	x			Rs Win	250	0		0%
09-04354	Nave v. SunTrust Investment	Tampa	7/21/2009	10/15/2010	N	G	x			Stipulated	598.6	-1		
09-04369	Besag v. Merrill Lynch	San Francisco	7/21/2009	1/10/2011	N	G	x	x		Rs Win	100	0		0%
09-04371	Dunne v. Ruffino	Los Angeles	7/21/2009	3/28/2012	Y	G	x		x	Rs Win	30	0		0%
09-04372	Woreta v. E*Trade Securities	Baltimore	7/8/2009	4/29/2010	Y	G	x			Rs Win	200	0		0%
09-04373	Burns v. Morgan Keegan	PP	7/23/2009	5/7/2010	N	G			x	Rs Win	25	0		0%
09-04391	Ceniglis v. Morgan Stanley	Dallas	7/21/2009	1/10/2011	Y	G		x		Rs Win	171.7	0		0%
09-04417	Sampson v. The GMS Group	Miami	7/23/2009	2/10/2011	N	D				Cs Win				
09-04441	Harris v. Charles Schwab	Detroit	7/23/2009	11/10/2010	Y	D				Rs Win				
09-04454	Collins Capital v. Bear Stearns	New York	7/24/2009	12/23/2010	Y	G		x		Stipulated	0	-1		
09-04471	Vallone v. Wells Fargo	San Diego	7/27/2009	12/20/2010	Y	D				Cs Win				
09-04480	Blumenthal v. Emmett A Larkin	Dallas	7/28/2009	11/22/2011	Y	G	x		x	Stipulated	0	-1		
09-04491	Olinkiewicz v. UBS Financial	New York	7/28/2009	10/27/2010	Y	G		x		Rs Win	0	0		

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09-04494	Derby v. Merrill Lynch	New York	7/29/2009	11/29/2010	Y	G			x	Rs Win	1507.1	0		0%
09-04497	Hix v. ProEquities Incorporated	Atlanta	7/27/2009	3/2/2011	Y	D				Cs Win				
09-04498	Knell v. Citigroup Global	Baltimore	7/28/2009	8/26/2010	N	D				Rs Win				
09-04506	Larson v. QA3 Financial	Minneapolis	7/28/2009	6/6/2011	Y	D				Cs Win				
09-04514	Corley v. Wachovia Securities	Atlanta	7/27/2009	6/10/2010	Y	G	x	x		Rs Win	34.6	0		0%
09-04523	Rasmussen v. Linsco/Private	Omaha	7/27/2009	10/13/2010	Y	G		x		Rs Win	500	0		0%
09-04531	Shoultz v. Billauer	San Diego	7/28/2009	11/5/2010	Y	G	x		x	Rs Win	64.2	0		0%
09-04546	Davood v. UBS Financial	Los Angeles	7/14/2009	6/22/2012	N	G		x		Rs Win	67.4	0		0%
09-04560	Gorman v. Bear Stearns	Boca Raton	7/30/2009	3/21/2011	N	G		x		Rs Win	1400	0	Cmr	0%
09-04569	Ulissey v. Edelman Financial	Washington	7/31/2009	11/5/2010	Y	G		x		Rs Win	507.7	0		0%
09-04587	Pache v. Oppenheimer & Company	Detroit	7/31/2009	6/29/2010	N	D				Cs Win				
09-04602	Panagios v. Charles Schwab	New York	8/3/2009	1/21/2011	Y	G			x	Stipulated	100	-1		
09-04654	Creasy v. Merrill Lynch	Richmond	8/5/2009	11/23/2010	Y	D				Rs Win				
09-04660	Ports v. Brandt	Los Angeles	8/4/2009	5/24/2011	Y	D				Rs Win				
09-04678	Smith v. Wachovia Securities	Seattle	8/5/2009	12/31/2012	N	D				Rs Win				
09-04679	Gant v. Pacific West	Seattle	8/6/2009	6/7/2011	Y	G			x	Stipulated	1000	-1		
09-04686	Bauer v. UBS Financial	Chicago	8/6/2009	5/25/2010	Y	G	x			Rs Win	27.5	0		0%
09-04688	Locher v. Ameriprise Financial	PP	8/3/2009	2/11/2010	Y	D				Cs Win				
09-04708	Dunn v. Lomsdalen	PP	8/6/2009	2/4/2010	Y	D				Rs Win				
09-04732	Reel v. Merrill Lynch	Rapid City	9/3/2009	3/8/2011	N	G	x			Stipulated	3000	-1		
09-04737	Deschaine v. Bernstein	PP	8/12/2009	2/11/2010	Y	D				Rs Win				
09-04750	Fry v. Merrill Lynch	Pittsburgh	11/17/2009	3/28/2011	Y	G			x	Rs Win	2225	0		0%
09-04773	Rosenberg v. Wachovia Securities	Los Angeles	8/12/2009	1/4/2011	N	D				Cs Win				

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09-04827	Sanders v. Allianz Life	Denver	8/14/2009	6/28/2011	Y	G	x			Rs Win	412.3	0		0%
09-04863	Davis v. Wells Fargo	San Francisco	8/17/2009	6/18/2012	N	G	x	x		Rs Win	500	0		0%
09-04864	Miura v. Charles Schwab	San Francisco	8/17/2009	10/11/2010	Y	G	x			Stipulated	107.2	-1		
09-04866	Rohan v. Charles Schwab	San Diego	8/17/2009	1/7/2011	Y	G	x	x	x	Stipulated	340.2	-1		
09-04872	Cannell v. UBS Financial	Detroit	8/17/2009	8/9/2010	Y	G	x	x		Stipulated	3	-1		
09-04880	Juntunen v. Merrill Lynch	Phoenix	8/18/2009	3/9/2011	Y	G		x		Stipulated	839.7	-1		
09-04884	Zoeller v. Sterne Agee	Louisville	8/18/2009	10/14/2010	Y	D				Rs Win				
09-04893	Curtis v. Commonwealth Financial	Boston	8/17/2009	11/11/2010	Y	G	x			Rs Win	366.9	0		0%
09-04948	Geer v. Rivetz	New York	8/21/2009	3/23/2011	Y	G		x		Rs Win	500	0		0%
09-04970	Kuerth v. QA3 Financial	Chicago	8/20/2009	10/24/2011	Y	G			x	Stipulated	600	-1		
09-04980	Zito v. Morgan Stanley	New York	8/22/2009	10/18/2010	Y	G		x		Rs Win	400	0		0%
09-04990	Ramey v. Duckworth	San Diego	8/20/2009	8/27/2010	Y	G		x		Stipulated	1000	-1		
09-05006	Dailey v. Charles Schwab	San Francisco	8/24/2009	4/6/2011	N Y	G			x	Stipulated	117.3	-1		
09-05015	Hanson v. Morgan Stanley	New York	8/26/2009	10/14/2010	Y	G	x			Cs Win	52.8	4.6	BD	9%
09-05038	Comeau v. Oppenheimer & Company	New York	8/28/2009	12/29/2010	Y	G		x		Stipulated	150	-1		
09-05068	Five Rivers v. Interactive Brokers	New York	8/29/2009	4/1/2011	Y	G			x	Rs Win	484.6	0		0%
09-05070	Bohnke v. Smith Barney	Tucson	8/27/2009	11/18/2010	BD only	D				Cs Win				
09-05081	Adams v. Oppenheimer & Company	Detroit	8/26/2009	12/13/2010	Y	G	x			Stipulated	412.3	-1		
09-05093	Mastrogiovanni v. Borchardt	PP	8/31/2009	6/24/2010	Y	G			x	Stipulated	12.9	-1		
09-05107	Ferraro v. Deutsche Bank	Charlotte	8/31/2009	3/15/2011	N Y-D	G	x		x	Stipulated	308.1	-1		
09-05127	Polk-Sebring v. City National	Washington	8/31/2009	5/3/2010	Y	G	x	x	x	Stipulated	0	-1		
09-05154	414 LLC v. Merrill Lynch	New York	9/1/2009	11/3/2010	N	D				Rs Win				
09-05158	Adee v. Wachovia Securities	San Francisco	8/31/2009	12/14/2010	Y	G			x	Cs Win	97	53	BD, Bkr (G)	55%

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09-05174	Sperber v. Prestige Financial	San Francisco	9/1/2009	5/10/2011	Y	D				Cs Win				
09-05191	Dowie v. Charles Schwab	San Francisco	9/3/2009	9/29/2010	Y	G	x			Stipulated	95.7	-1		
09-05195	Billig v. Rosenmayer	PP	9/2/2009	5/13/2010	Y	D				Cs Win				
09-05197	Powers v. LPL Financial	PP	9/1/2009	4/12/2010	Y	G			x	Rs Win	25	0		0%
09-05210	Schluter v. Wells Fargo	Boca Raton	9/3/2009	2/11/2011	Y	G	x			Stipulated	400	-1		
09-05226	Gieseking v. Charles Schwab	Phoenix	9/3/2009	7/26/2010	N	G			x	Stipulated	100	-1		
09-05230	Beaty v. Morgan Stanley	San Francisco	9/8/2009	9/15/2010	N	G		x		Rs Win	109.1	0		0%
09-05246	FTB LLC v. Morgan Stanley	New Orleans	9/9/2009	1/11/2011	N	D				Cs Win				
09-05255	Cole v. Morgan Stanley	Phoenix	9/8/2009	10/18/2010	Y	D				Cs Win				
09-05270	Chawla v. Ring	Boston	9/8/2009	11/4/2010	Y	G	x			Rs Win	220	0		0%
09-05271	Prud'homme v. Merrill Lynch	Savannah	9/10/2009	9/19/2011	N	G	x			Rs Win	56	0		0%
09-05276	Kivo v. Oppenheimer & Company	New York	9/10/2009	2/3/2011	Y	D				Cs Win				
09-05327	Master v. Bear Stearns	Columbus	9/10/2009	9/1/2011	Y	G	x	x		Rs Win	100	0		0%
09-05363	Doherty v. Gromos	PP	9/9/2009	3/3/2010	Y	D				Rs Win				
09-05365	Szurko v. Morgan Stanley	New York	9/14/2009	10/26/2010	N	G			x	Stipulated	25	-1		
09-05377	Hunt v. New Castle	Portland	9/15/2009	5/26/2011	Y	G			x	Stipulated	98	-1		
09-05393	Chaplin v. Citigroup Global	Miami	9/16/2009	1/18/2011	N	G			x	Stipulated	1000	-1		
09-05394	Sherbert v. Morgan Stanley	Columbia	9/14/2009	6/30/2011	N	D				Cs Win				
09-05396	Blackoff v. Gurman	Los Angeles	9/15/2009	4/13/2011	Y	D				Cs Win				
09-05415	Gaynor v. Morgan Stanley	Boca Raton	9/17/2009	11/10/2010	N	G			x	Stipulated	13000	-1		
09-05421	Fausak v. Morgan Keegan	New Orleans	9/16/2009	1/28/2011	N	D				Cs Win				
09-05426	McIlroy v. Merrill Lynch	Newark	9/16/2009	10/12/2011	N	G	x	x		Stipulated	293	-1		
09-05483	Cowin v. MetLife Securities	PP	9/17/2009	6/24/2010	Y	G			x	Cs Win	20	5	BD, Bkr	25%
09-05487	Solazzo v. Merrill Lynch	Newark	9/18/2009	2/9/2011	N	G	x	x		Stipulated	180	-1		

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09-05490	Wickett v. Advantage Capital	Buffalo	9/18/2009	6/8/2010	Y	G	x			Rs Win	35.2	0		0%
09-05496	IB Corp Investments v. Citigroup Global	Nashville	9/21/2009	3/1/2011	N	D				Stipulated				
09-05536	Davenport v. UBS Financial	Los Angeles	9/21/2009	8/11/2010	Y	G			x	Stipulated	4334.1	-1		
09-05539	Bridges-Ross v. Morgan Stanley	San Francisco	9/22/2009	11/18/2011	Y	G			x	Rs Win	348	0		0%
09-05576	Shuck v. Royal Alliance	Los Angeles	9/21/2009	11/2/2010	Y	G	x			Stipulated	1134.8	-1		
09-05603	Calufetti v. Merrill Lynch	Fort Lauderdale	9/21/2009	3/29/2011	Y	G	x	x		Stipulated	40	-1		
09-05626	Boutin v. Wachovia Securities	Detroit	9/23/2009	4/2/2012	Y	G			x	Cs Win	130	50	BD, Bkr	38%
09-05630	Wohl v. Iglow	Los Angeles	9/22/2009	3/25/2011	Y	G		x		Stipulated	342.3	-1		
09-05637	Matina v. Merrill Lynch	Newark	9/25/2009	11/28/2011	Y	G		x		Rs Win	265.8	0		0%
09-05638	Baltis v. Morgan Stanley	Albany	9/28/2009	10/5/2010	Y	G	x			Rs Win	132.2	0		0%
09-05640	Rudolph Texas Investments v. Merrill Lynch	Miami	9/29/2009	7/29/2011	N	G		x		Stipulated	1000	-1		
09-05641	Michalak v. American Investors	Baltimore	9/29/2009	3/18/2011	Y	G	x			Cs Win	0	2702.9	BD, Bkr	
09-05645	Panahi v. UBS Financial	Los Angeles	9/30/2009	7/13/2011	Y	D				Rs Win				
09-05651	Cerny v. Citigroup Global	Chicago	9/28/2009	12/23/2010	N	G	x			Cs Win	752.1	25	BD	3%
09-05681	Coryn v. Ogilvie Security	Indianapolis	9/9/2009	12/23/2010	BD only	D				Cs Win				
09-05686	Rogers v. Ameriprise Financial	PP	9/29/2009	5/24/2010	N	D				Cs Win				
09-05706	Luckett v. U.S Bancorp	Louisville	9/29/2009	9/24/2010	N	G			x	Rs Win	35	0		0%
09-05719	Delfs v. Tusan	Phoenix	9/29/2009	7/6/2011	Y	G		x	x	Stipulated	1114.2	-1		
09-05737	Norris v. Charles Schwab	Birmingham	10/5/2009	4/15/2011	Y	G			x	Stipulated	52.7	-1		
09-05754	Allgyer v. Ameriprise Financial	Houston	10/5/2009	11/22/2011	N	G	x	x		Stipulated	750	-1		
09-05757	McDonough v. Charles Schwab	Chicago	10/5/2009	3/14/2012	Y	G	x	x	x	Stipulated	661.3	-1		
09-05758	Miller v. Charles Schwab	Chicago	10/5/2009	6/30/2011	N Y-D	G	x		x	Stipulated	82.5	-1		
09-05759	Johns v. McVay	Pittsburgh	10/1/2009	10/26/2010	Y	G			x	Rs Win	218.2	0		0%

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09-05762	Young v. Deutsche Park	Philadelphia	10/6/2009	8/16/2011	N	D				Cs Win				
09-05785	Stokes v. Charles Schwab	Albany	10/7/2009	5/17/2011	Y	G	x		x	Stipulated	143	-1		
09-05795	Axel v. Raymond James	Los Angeles	10/7/2009	3/1/2011	Y	D				Rs Win				
09-05797	Durham v. Lawson Financial	Phoenix	10/6/2009	10/14/2010	Y	G			x	Cs Win	425	277.5	BD, Bkr	65%
09-05799	Klavir v. Banc of America	Los Angeles	10/5/2009	10/13/2010	N	G		x		Rs Win	211	0		0%
09-05801	Bridge v. Merrill Lynch	San Diego	10/7/2009	12/6/2010	Y	D				Cs Win				
09-05807	Becker v. E*Trade Securities	Seattle	10/5/2009	10/27/2010	N	G	x	x	x	Stipulated	0	-1		
09-05808	White v. Hicks	Tampa	10/2/2009	9/1/2010	Y	D				Rs Win				
09-05821	Hoge v. Citigroup Global	Atlanta	10/8/2009	11/8/2010	Y	G	x			Rs Win	175	0		0%
09-05842	Starnes v. Merrill Lynch	Tampa	10/8/2009	2/17/2011	N	D				Cs Win				
09-05858	Hamovitch v. Merrill Lynch	New York	10/10/2009	9/30/2010	Y	G		x		Rs Win	28	0		0%
09-05884	Vermillion v. Ameriprise Financial	Louisville	10/7/2009	2/18/2011	Y	G	x		x	Stipulated	25	-1		
09-05894	Hart v. UBS Financial	Tampa	10/13/2009	5/31/2011	N	G	x	x		Stipulated	100	-1		
09-05896	Williams v. Goldman Sachs	San Francisco	10/14/2009	12/29/2010	Y	G		x		Cs Win	95.6	47.8	BD	50%
09-05897	Calzat v. QA3 Financial	Las Vegas	10/13/2009	1/6/2011	Y	G			x	Stipulated	255.5	-1		
09-05898	Villanueva v. Wedbush Securities	Los Angeles	10/9/2009	6/28/2011	Y	D				Cs Win				
09-05911	Willcutt v. UBS Financial	PP	10/13/2009	6/17/2010	Y	G	x		x	Rs Win	24.7	0		0%
09-05926	Feffer v. Buckman Buckman	Los Angeles	10/9/2009	3/30/2011	N	G	x	x		Rs Win	0	0		
09-05944	Eaves v. Wachovia Securities	Boca Raton	10/15/2009	10/13/2011	N	G	x			Stipulated	90	-1		
09-05950	Brautigam v. Charles Schwab	Tampa	10/15/2009	2/14/2012	N	G			x	Stipulated	151.3	-1		
09-05955	Winston v. Charles Schwab	St. Louis	10/13/2009	4/1/2011	Y	G		x		Stipulated	250	-1		
09-05961	Ott v. Charles Schwab	San Francisco	10/15/2009	3/31/2011	N Y-D	G	x			Stipulated	262.5	-1		
09-05964	Andrews v. Rizzieri	PP	10/15/2009	6/28/2010	Y	D				Cs Win				

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09-05971	Gravelle v. Cummnings	Buffalo	10/16/2009	3/29/2011	Y	D				Cs Win				
09-05976	Garcia-Fernandez v. Citigroup Global	San Juan	10/19/2009	1/25/2011	Y	G		x		Rs Win	28	0		0%
09-05979	Reisner v. SunTrust Investments	Boca Raton	10/16/2009	7/15/2010	Y	D				Cs Win				
09-05989	Bahuth v. UBS Financial	Los Angeles	10/22/2009	2/22/2011	Y	G		x		Rs Win	165	0		0%
09-06014	Balzebre v. Merrill Lynch	Miami	10/19/2009	6/29/2011	N	G			x	Stipulated	1600	-1		
09-06016	Nobili v. Charles Schwab	Miami	10/19/2009	5/18/2011	N	G			x	Stipulated	435	-1		
09-06108	Beach v. Banc of America	Hartford	10/22/2009	4/7/2011	N	G	x	x	x	Stipulated	1000	-1		
09-06115	Oughtred v. E*Trade Securities	Denver	10/21/2009	3/4/2011	Y	G	x			Stipulated	33.3	-1		
09-06118	LeBoeuf v. Merrill Lynch	Providence	10/22/2009	7/5/2011	Y	G		x		Stipulated	58.1	-1		
09-06153	Gilmore v. Eathorne	Denver	10/22/2009	1/3/2011	Y	D				Cs Win				
09-06159	Friedlander v. Ameriprise Advisor	New York	10/27/2009	9/30/2010	N	G	x			Rs Win	1325	0		0%
09-06162	Sherrill v. Wells Fargo	Fort Lauderdale	10/19/2009	9/9/2011	N	D				Rs Win				
09-06175	Gangi v. JP Morgan	Newark	10/27/2009	10/18/2012	Y	G		x	x	Rs Win	0	0		
09-06195	Green v. Bessemer Investor	Boca Raton	10/28/2009	4/12/2010	Y	G	x	x	x	Rs Win	2500	0		0%
09-06198	West v. Gates	San Francisco	10/27/2009	10/4/2010	Y	G			x	Stipulated	900	-1		
09-06200	Padilla v. Citibank FSB	Los Angeles	12/1/2009	11/4/2011	Y	G	x	x	x	Rs Win	0	0		
09-06207	Wright v. Credit Suisse	Chicago	10/27/2009	5/4/2011	Y	G			x	Stipulated	389.1	-1		
09-06220	Bolen v. Morgan Stanley	Los Angeles	10/26/2009	11/15/2010	Y	G		x		Rs Win	300	0		0%
09-06230	JCE/CBI Limted v. Morgan Stanley	Houston	10/29/2009	7/27/2011	N Y	G			x	Stipulated	315.8	-1		
09-06233	JPTDLM Limited Partnership v. Oppenheimer & Company	Milwaukee	10/29/2009	9/16/2011	Y	G			x	Stipulated	2000	-1		
09-06234	Peoples State Bank v. FTN Financial	New Orleans	10/30/2009	5/26/2011	Y	D				Rs Win				

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09-06246	Pivnick v. Wachovia Securities	Boca Raton	10/28/2009	7/19/2011	N	G		x	x	Stipulated	1475.7	-1		
09-06263	Ray v. Merrill Lynch	Boston	10/30/2009	5/26/2011	N Y	D				Stipulated				
09-06264	Melzer v. Merrill Lynch	New York	11/3/2009	8/2/2011	Y	G		x		Stipulated	1500	-1		
09-06268	Bry v. Caputo	Los Angeles	10/29/2009	10/4/2012	Y	G	x			Stipulated	100	-1		
09-06316	Bevilacqua v. Wells Fargo	Los Angeles	11/4/2009	2/7/2011	Y	G	x	x		Clm Wthdn	50	0		0%
09-06320	Cwirko v. Morgan Stanley	Newark	11/5/2009	10/31/2011	N	D				Cs Win				
09-06329	Savinovich v. Banc of America	Newark	11/5/2009	7/26/2011	Y	G			x	Stipulated	800	-1		
09-06348	Stockton v. Fidelity Brokerage	Dallas	11/5/2009	6/30/2011	Y	G	x			Stipulated	58.8	-1		
09-06358	Russiello v. Fidelity Brokerage	New York	11/3/2009	11/16/2011	N	G	x	x	x	Stipulated	720.2	-1		
09-06361	Arns v. Belle Haven	New York	11/4/2009	5/17/2012	Y	G	x			Stipulated	400	-1		
09-06394	Earl v. Morgan Stanley	Denver	11/9/2009	11/18/2010	Y	D				Rs Win				
09-06411	Tillman v. Morgan Keegan	Memphis	11/6/2009	5/25/2012	N	G			x	Stipulated	325	-1		
09-06414	Coulton v. UBS Financial	PP	11/10/2009	4/28/2010	Y	G			x	Cs Win	18.9	1.8	BD	10%
09-06421	Grant v. Charles Schwab	New York	11/11/2009	2/22/2011	Y	G	x		x	Stipulated	525	-1		
09-06438	Friedlander v. Charles Schwab	New Orleans	11/10/2009	3/16/2012	N	G			x	Stipulated	109.7	-1		
09-06443	Johnson v. UBS Financial	Los Angeles	11/6/2009	12/28/2010	Y	D				Cs Win				
09-06446	Vollstedt v. Charles Schwab	Santa Fe	11/10/2009	7/15/2011	N	G			x	Cs Win	103.8	323.1	BD	311%
09-06456	Skakun v. Janney Montgomery	New York	11/10/2009	4/7/2011	Y	G		x		Stipulated	158.8	-1		
09-06457	Locher v. Citigroup Global	Boca Raton	11/12/2009	2/22/2012	N	G		x		Stipulated	495	-1		
09-06463	Young v. Newport Coast	Los Angeles	11/12/2009	11/11/2011	Y	G		x		Stipulated	600	-1		
09-06473	Sherry v. Morgan Stanley	New York	11/10/2009	10/3/2012	N	G		x		Stipulated	2500	-1		
09-06478	Rosenthal v. E*Trade Securities	Washington	11/10/2009	10/29/2010	Y	G			x	Cs Win	36.8	4	BD	11%
09-06493	Orkin v. Citigroup Global	Los Angeles	11/16/2009	7/13/2011	N	G	x			Stipulated	491	-1		

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09-06496	Metal Fishing Association v. Evergreen Investment	Los Angeles	11/12/2009	6/17/2011	N	G			x	Stipulated	50.7	-1		
09-06525	Bamberger v. UBS Financial	St. Louis	11/11/2009	9/30/2011	N	G		x		Stipulated	470	-1		
09-06534	Smith v. Wells Fargo	New York	11/18/2009	11/4/2010	Y	D				Cs Win				
09-06555	Stephens v. UnionBanc Investment	Los Angeles	11/16/2009	2/14/2011	N	G		x		Stipulated	1094.8	-1		
09-06561	Hara v. Kelter	PP	11/16/2009	9/3/2010	Y	D				Rs Win				
09-06573	Goldenberg v. Castro	New York	11/16/2009	10/26/2011	Y	G	x	x		Stipulated	200	-1		
09-06607	Anderson v. Askar Corporation	Tampa	11/17/2009	8/2/2011	Y	G			x	Stipulated	300	-1		
09-06614	Lynn v. Charles Schwab	PP	11/17/2009	6/24/2010	N	D				Cs Win				
09-06621	Samuels v. Berk	New York	11/20/2009	3/21/2011	Y	G			x	Stipulated	70	-1		
09-06623	Fahs v. Merrill Lynch	Hartford	11/20/2009	7/26/2011	N	D				Cs Win				
09-06628	Ochs v. Laidlaw & Company	New York	11/20/2009	2/23/2011	Y	G		x	x	Stipulated	159.6	-1		
09-06643	Ahmed v. Merrill Lynch	San Francisco	11/19/2009	1/11/2012	Y	D				Rs Win				
09-06644	Lawton v. Wells Fargo	San Francisco	11/20/2009	5/20/2011	Y	G	x	x		Stipulated	500	-1		
09-06647	Gilbert v. Harrison Douglas	Los Angeles	11/20/2009	4/18/2011	Y	D				Cs Win				
09-06653	Henritzy v. Merrill Lynch	Southfield	11/20/2009	11/1/2010	Y	D				Rs Win				
09-06657	Katz v. Citigroup Global	New York	11/23/2009	4/4/2011	N	G	x			Rs Win	590	0		0%
09-06706	Boniadi v. Ameriprise Financial	San Diego	11/23/2009	4/5/2012	Y	G			x	Stipulated	4000	-1		
09-06707	Berovic v. KMS Financial	Phoenix	11/23/2009	7/26/2011	Y	D				Cs Win				
09-06716	Tracy v. Citigroup Global	Detroit	11/20/2009	9/4/2012	N	G		x		Stipulated	1500	-1		
09-06722	Trerotola v. UBS AG	Los Angeles	11/25/2009	8/2/2011	Y	G	x			Stipulated	0	-1		
09-06734	Allen v. Morgan Stanley	Chicago	11/30/2009	5/17/2012	N	D				Rs Win				
09-06739	Boone v. Merrill Lynch	Memphis	11/9/2009	11/11/2010	Y	G	x		x	Cs Win	28.7	2	BD	7%
09-06746	Tennant v. Raymond James	Portland	11/30/2009	7/28/2010	BD only	D				Cs Win				

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09-06754	Populorum v. The Tidal Group	Raleigh	11/24/2009	11/19/2010	Y	G		x		Rs Win	70	0		0%
09-06757	Miller v. Merrill Lynch	Miami	11/30/2009	7/6/2011	N	G	x	x		Stipulated	500	-1		
09-06760	Hathaway v. Morgan Stanley	Atlanta	11/25/2009	4/7/2011	Y	G	x	x	x	Stipulated	1000	-1		
09-06768	Lowell v. Ameriprise Advisor	Boca Raton	11/30/2009	12/1/2010	N	G	x			Stipulated	220	-1		
09-06774	Brown v. Private Asset	Dallas	12/1/2009	5/5/2011	Y	G			x	Stipulated	625	-1		
09-06804	McMichael v. Wells Fargo	Houston	12/2/2009	7/29/2011	Y	G	x	x		Stipulated	1500	-1		
09-06807	Barrett v. JP Morgan	Los Angeles	12/2/2009	9/24/2012	N	G	x	x	x	Stipulated	400	-1		
09-06859	Steinberg v. Morgan Stanley	Boca Raton	11/23/2009	6/16/2011	Y	G	x	x		Clm Wthdn	55	0		0%
09-06861	Dee v. Bank of America	Boston	12/7/2009	2/25/2011	Y	D				Stipulated				
09-06862	Wyman v. Wells Fargo	New York	12/8/2009	7/14/2011	N	G	x			Stipulated	400	-1		
09-06863	Musachio v. Ameriprise Financial	New York	12/8/2009	3/23/2011	Y	D				Rs Win				
09-06865	Shutan v. Jesup & Lamont	Boca Raton	12/3/2009	6/19/2012	Y	G			x	Stipulated	500	-1		
09-06878	Firestone v. Charles Schwab	Seattle	12/7/2009	11/17/2010	Y	G		x	x	Stipulated	16	-1		
09-06884	Kazezski v. Wedbush Morgan	San Francisco	12/9/2009	5/5/2011	Y	D				Cs Win				
09-06903	Perfect v. Minor	Phoenix	12/9/2009	3/4/2011	Y	G	x			Rs Win	288.3	0		0%
09-06905	US Airways v. Hansalik	New York	12/23/2009	5/27/2011	Y	D				Cs Win				
09-06910	Santanna Natural Gas v. Merrill Lynch	Houston	12/10/2009	9/22/2011	Y	G	x			Stipulated	1000	-1		
09-06911	Hunt v. NPA Financial	New York	12/2/2009	11/23/2010	Y	G		x		Rs Win	18.5	0		0%
09-06924	Mirch v. Morgan Stanley	Reno	12/10/2009	12/15/2011	N	G		x		Stipulated	450	-1		
09-06930	Potter v. Mutual Service	Kansas City	12/8/2009	11/8/2011	Y	G		x		Rs Win	145	0		0%
09-06958	Tall Trees v. Cole Partners	Chicago	12/9/2009	12/28/2011	N	G			x	Stipulated	200	-1		
09-06972	Walter v. Wachovia Securities	Tampa	12/12/2009	3/25/2011	Y	G		x		Rs Win	28.4	0		0%
09-06997	Mechetti v. Banc of America	PP	12/14/2009	7/22/2010	Y	D				Cs Win				

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09-07024	Snyder v. Goldman Sachs	Atlanta	12/17/2009	5/30/2012	N	G	x			Rs Win	5500	0	Cmr	0%
09-07029	Fava v. Garcia	Tampa	12/16/2009	6/18/2012	N Y	G	x	x	x	Stipulated	798.8	-1		
09-07030	Isham v. JJB Hilliard	PP	12/15/2009	7/27/2010	Y	G			x	Stipulated	24.7	-1		
09-07044	Grumet v. Citigroup Global	New York	12/17/2009	6/9/2011	Y	G			x	Stipulated	26.5	-1		
09-07051	Carter v. Morgan Stanley	Boca Raton	12/14/2009	3/11/2011	N	G	x			Stipulated	497	-1		
09-07062	Moore v. Morgan Stanley	Phoenix	12/16/2009	3/25/2011	Y	G	x	x	x	Cs Win	75.9	15	BD	20%
09-07063	Welch v. Raymond James	San Francisco	12/18/2009	2/24/2011	Y	G		x	x	Stipulated	230	-1		
09-07068	Carlyle v. Wells Fargo	Dallas	12/15/2009	10/12/2011	N	G		x		Stipulated	3000	-1		
09-07075	Elswick v. Chase Investments	Houston	12/14/2009	3/1/2011	N	G		x		Rs Win	14.1	0		0%
09-07076	Farls v. Battaline	Pittsburgh	12/17/2009	2/1/2011	Y	G		x		Rs Win	400	0		0%
09-07088	Pascarella v. SunTrust Investment	Orlando	12/21/2009	12/27/2010	N	D				Cs Win				
09-07097	Gardner v. Edward D Jones	San Francisco	12/17/2009	8/10/2010	N	D				Rs Win				
09-07101	Brown v. Wells Fargo	Los Angeles	12/18/2009	7/15/2011	Y	G	x	x		Stipulated	300	-1		
09-07122	Ingram v. Merrill Lynch	Boca Raton	12/22/2009	5/11/2011	N	D				Rs Win				
09-07132	Violette v. Charles Schwab	Denver	12/22/2009	8/2/2012	N	G			x	Stipulated	159	-1		
09-07149	Dufrin v. Allstate Financial	Raleigh	12/22/2009	5/23/2011	Y	D				Rs Win				
09-07154	Goldman v. Lincoln Financial	San Francisco	12/18/2009	5/5/2011	Y	G		x		Rs Win	110	0		0%
09-07170	McIntosh v. RBC Capital	Philadelphia	12/21/2009	3/10/2011	N	G	x			Rs Win	180	0		0%
09-07204	Klein v. Morgan Keegan	Tampa	12/24/2009	9/16/2011	Y	G		x		Rs Win	30	0		0%
09-07212	Santarsiero v. TD Ameritrade	New York	12/22/2009	11/30/2010	Y	G		x	x	Rs Win	65.6	0		0%
09-07227	Besser v. EFG Financial	Boca Raton	12/28/2009	7/16/2012	N	G			x	Stipulated	2025	-1		
09-07248	Blau v. Jefferies & Company	Boston	12/29/2009	7/6/2011	Y	D				Rs Win				
09-07255	Caesar-Brown v. Merrill Lynch	Miami	12/29/2009	5/20/2011	Y	G		x		Rs Win	215	0		0%
09-07271	Fross v. Charles Schwab	Chicago	12/24/2009	7/21/2011	N	G			x	Stipulated	185.9	-1		
10-00009	Lieberman v. Morgan Keegan	Miami	12/29/2009	3/3/2011	Y	G			x	Cs Win	200	264	BD	132%

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10-00012	Wayman v. Securities America	Los Angeles	12/29/2009	12/31/2010	Y	D				Cs Win				
10-00013	Kraemer v. Private Asset	Los Angeles	12/30/2009	12/16/2010	Y	G	x	x	x	Clm Wthdn	50	0		0%
10-00019	Ramirez Marcillo v. Morgan Keegan	Miami	12/30/2009	10/27/2011	Y	G		x		Rs Win	345	0	Cmr	0%
10-00026	Moore v. Lincoln Financial	Detroit	12/28/2009	10/12/2010	N	G		x		Rs Win	26.4	0		0%
10-00033	Bryant v. Morgan Stanley	Des Moines	12/30/2009	12/14/2010	N	D				Cs Win				
10-00040	Burgess v. Morgan Stanley	San Francisco	1/2/2010	4/29/2011	N	D				Rs Win				
10-00059	Astras v. Mercer Capital	Boston	1/5/2010	8/3/2011	Y	D				Rs Win				
10-00083	Harvey v. Wells Fargo	San Francisco	1/4/2010	4/18/2011	Y	G	x	x		Stipulated	2450	-1		
10-00100	Chibbaro v. National Securities	Philadelphia	1/7/2010	8/30/2012	Y	G		x		Stipulated	110	-1		
10-00119	Blake v. Morgan Stanley	Birmingham	1/5/2010	9/20/2011	Y	D				Cs Win				
10-00125	Kazar v. Citigroup Global	New York	1/7/2010	11/9/2010	Y	G	x			Rs Win	1200	0		0%
10-00168	Class Action v. Charles Schwab	San Francisco	1/12/2010	11/11/2011	N	G			x	Stipulated	500	-1		
10-00208	Kersten v. Mutual Service	Detroit	1/10/2010	4/21/2011	Y	G		x		Stipulated	300	-1		
10-00214	Suskind v. Citigroup Global	New York	1/13/2010	10/26/2010	N	D				Cs Win				
10-00217	Halonen v. Gries	Minneapolis	1/19/2010	8/13/2010	Y	D				Rs Win				
10-00241	Sherlock v. JP Turner	San Francisco	1/15/2010	10/18/2011	N	G			x	Stipulated	245	-1		
10-00243	Patnode v. E*Trade Securities	San Francisco	1/15/2010	1/28/2011	Y	G	x			Stipulated	25	-1		
10-00245	Quigg v. Fifth Third	PP	1/16/2010	11/9/2010	Y	G			x	Cs Win	4	0.1	BD	3%
10-00247	Horn v. Dayspring Investment	Oklahoma City	1/14/2010	11/12/2010	BD only	D				Cs Win				
10-00254	Gannon v. Morgan Stanley	Pittsburgh	1/15/2010	9/21/2011	Y	G		x		Rs Win	395.4	0		0%
10-00258	Kortemeyer v. Charles Schwab	Chicago	1/14/2010	4/14/2011	N	G	x			Stipulated	62.3	-1		
10-00266	Reed v. Charles Schwab	San Francisco	1/18/2010	11/10/2010	Y	G			x	Stipulated	91.4	-1		
10-00267	Maag v. Charles Schwab	Los Angeles	1/18/2010	12/8/2010	Y	G	x			Stipulated	56.1	-1		

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10-00278	Wynns v. Citigroup Global	Southfield	1/12/2010	9/14/2011	Y	G	x	x	x	Cs Win	241	172.4	BD	72%
10-00300	Bornstein v. Connolly	PP	1/20/2010	7/28/2010	Y	G		x		Rs Win	4.7	0		0%
10-00302	Eveatt v. Verner	PP	1/22/2010	10/22/2010	Y	G			x	Rs Win	25	0		0%
10-00328	World-Wide Sports v. Ameriprise Financial	New York	1/20/2010	4/19/2011	Y	D				Rs Win				
10-00357	Tibbs v. Charles Schwab	Houston	1/18/2010	5/5/2011	N	G	x	x	x	Stipulated	290	-1		
10-00365	O'Rourke v. Mercer Capital	Washington	1/22/2010	8/29/2011	Y	D				Cs Win				
10-00381	Edwards v. Morgan Stanley	Houston	1/20/2010	6/10/2011	Y	G	x			Rs Win	650	0		0%
10-00417	Wesolak v. Mercer Capital	Kansas City	1/27/2010	10/24/2011	Y	D				Cs Win				
10-00418	Haaker v. Morgan Stanley	New York	1/26/2010	3/17/2011	Y	G	x			Rs Win	61.2	0	Cmr	0%
10-00434	Southwire Company v. First Tennessee	Atlanta	1/28/2010	11/16/2011	N	G		x		Rs Win	4250	0		0%
10-00456	Gratwick v. Morgan Keegan	PP	1/26/2010	9/16/2010	N	D				Cs Win				
10-00490	Minaiyan v. Citigorup Global	Los Angeles	1/27/2010	1/25/2011	Y	G		x		Rs Win	21.7	0		0%
10-00492	Abramowitz v. Wells Fargo	New York	2/1/2010	7/7/2011	N	G	x			Stipulated	130	-1		
10-00497	Kaufman v. Morgan Stanley	Baltimore	2/1/2010	6/22/2011	Y	G	x			Stipulated	95	-1		
10-00502	Di Gregorio v. Oppenheimer & Company	Los Angeles	1/27/2010	12/13/2011	Y	G	x			Stipulated	0	-1		
10-00507	Davis v. WFP Securities	Los Angeles	2/1/2010	3/14/2012	Y	G		x		Rs Win	2467.6	0		0%
10-00508	Rocco v. Beck	Los Angeles	1/27/2010	12/30/2011	Y	G	x			Stipulated	114.2	-1		
10-00514	Mendelsohn v. Charles Schwab	Boca Raton	2/9/2010	11/2/2010	N	G		x		Stipulated	244	-1		
10-00520	Mendelson v. Merrill Lynch	Hartford	2/1/2010	6/28/2011	Y	D				Stipulated				
10-00521	City of Burlington v. Morgan Stanley	Montpelier	2/2/2010	4/8/2011	N	G	x	x		Stipulated	21000	-1		
10-00547	Wolf v. Goldfarb	New York	2/4/2010	2/23/2012	Y	G			x	Rs Win	811.9	0		0%
10-00558	Guenther v. B.C. Ziegler	Milwaukee	2/19/2010	1/13/2011	Y	G		x		Rs Win	250	0		0%
10-00569	Hummer v. H Beck Incorporated	Richmond	2/5/2010	5/5/2011	Y	D				Rs Win				
10-00571	Moses v. Wells Fargo	Richmond	2/2/2010	3/24/2011	Y	G	x			Stipulated	69.4	-1		

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10-00594	Schaefer v. Morgan Stanley	Orlando	2/5/2010	4/27/2011	N	G	x	x		Stipulated	285	-1		
10-00603	Ellison v. Brooks	Los Angeles	2/5/2010	11/29/2011	Y	G		x		Cs Win	1658	1405.4	BD, Bkr	85%
10-00615	American Eagle v. Haber	Pittsburgh	2/8/2010	8/9/2011	Y	G	x	x		Stipulated	48000	-1		
10-00622	McMickle v. Moler	Boca Raton	1/30/2010	4/18/2011	Y	G		x		Rs Win	144	0		0%
10-00638	Sunrise Trust v. McElroy	Las Vegas	2/8/2010	3/12/2012	Y	G	x		x	Rs Win	125	0		0%
10-00640	Ngou v. DeWaay Financial	Los Angeles	2/9/2010	1/20/2011	Y	D				Cs Win				
10-00669	Pardo v. Kaminsky	New York	2/11/2010	4/1/2011	Y	D				Rs Win				
10-00674	The Core Fund v. Morgan Stanley	Tampa	2/11/2010	9/29/2011	N	G		x		Rs Win	9339.3	0		0%
10-00693	Krause v. FMSBonds	Dallas	2/11/2010	6/2/2011	N	G	x	x		Rs Win	70	0		0%
10-00721	Barry v. Charles Schwab	New York	2/12/2010	9/23/2011	N Y	G	x		x	Stipulated	56.6	-1		
10-00722	Calderone v. Edward D Jones	Las Vegas	2/9/2010	8/2/2011	N	G		x		Stipulated	200	-1		
10-00724	Linden v. Morgan Stanley	Boca Raton	2/9/2010	10/19/2012	N	G	x		x	Stipulated	600	-1		
10-00728	Masiliunas v. Morgan Stanley	Chicago	2/8/2010	7/21/2011	N	G	x	x	x	Stipulated	74	-1		
10-00742	Arrigoni v. Wachovia Securities	PP	2/11/2010	7/30/2010	Y	D				Cs Win				
10-00749	Berkowitz v. Morgan Stanley	Philadelphia	2/12/2010	8/4/2011	N	G		x		Stipulated	30	-1		
10-00750	Pestarino v. Charles Schwab	PP	2/4/2010	8/19/2010	N	D				Cs Win				
10-00752	Tobin v. Chase Investment	Seattle	2/16/2010	5/9/2011	Y	G	x	x		Rs Win	110.9	0		0%
10-00781	Youngblood v. Fidelity Brokerage	Houston	2/17/2010	9/13/2011	Y	G	x		x	Stipulated	1134	-1		
10-00790	Hunley v. Fisher	PP	2/17/2010	9/14/2010	Y	D				Rs Win				
10-00840	Braver v. EFG Capital	Boca Raton	2/22/2010	7/6/2012	N	G			x	Stipulated	2473.2	-1		
10-00853	Davis v. Wells Fargo	Indianapolis	2/19/2010	2/23/2012	N	G			x	Stipulated	5000	-1		
10-00882	Conarpe v. Essex National	Albany	2/24/2010	6/24/2011	Y	G		x		Rs Win	147	0		0%
10-00890	Easton Limited Partnership v. Fidelity Brokerage	San Diego	2/25/2010	7/24/2012	Y	G	x	x	x	Rs Win	1529.9	0		0%
10-00899	Rink v. PrimeVest Financial	Indianapolis	2/23/2010	9/21/2011	Y	G	x			Stipulated	527	-1		
10-00926	Barnes v. Bangit	PP	3/1/2010	11/23/2010	Y	G	x		x	Rs Win	15	0		0%
10-00932	Bishop v. E*Trade Securities	PP	2/24/2010	9/24/2010	Y	D				Rs Win				

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10-00934	Gottlieb v. Wells Fargo	Boca Raton	2/24/2010	9/24/2012	N	G	x	x		Stipulated	400	-1		
10-00948	Cleveland v. Edward D Jones	Portland	2/22/2010	11/1/2010	N	D				Rs Win				
10-00950	OC Partners v. RBC Dain Rauscher	San Francisco	2/22/2010	10/13/2011	Y	G	x	x		Stipulated	540	-1		
10-00962	Hess v. Kennedy	Chicago	2/25/2010	3/8/2011	Y	D				Rs Win				
10-00973	Fletcher v. JP Turner	Atlanta	3/1/2010	11/30/2011	N	G			x	Stipulated	510	-1		
10-00992	Roberts v. ThinkEquity Partners	New York	3/2/2010	10/24/2012	Y	D				Cs Win				
10-00997	Montney v. Sica	PP	3/1/2010	10/5/2010	Y	G	x	x		Rs Win	1	0		0%
10-00998	Conklin v. Banc of America	Newark	3/1/2010	10/4/2012	N	G	x	x		Stipulated	0	-1		
10-01011	DiRienzo v. Banc of America	New York	3/2/2010	11/14/2011	Y	G		x		Rs Win	810	0		0%
10-01051	Adkins v. Wachovia Securities	Orlando	3/3/2010	7/7/2011	Y	G	x		x	Cs Win	375	217.6	BD	58%
10-01077	Davis v. Wells Fargo	Boca Raton	3/5/2010	9/27/2012	N	G	x	x	x	Stipulated	200	-1		
10-01078	Aronowitz v. Morgan Stanley	Boca Raton	3/2/2010	9/6/2012	N	G	x	x		Clm Wthdn	140	0		0%
10-01084	Trump v. Miller	San Diego	3/3/2010	2/15/2011	Y	G		x	x	Stipulated	300	-1		
10-01085	Mason v. UBS Financial	Los Angeles	3/4/2010	4/26/2011	N	D				Cs Win				
10-01086	Debus Kazan v. Hock	Phoenix	3/5/2010	3/12/2012	Y	G	x	x		Stipulated	300	-1		
10-01112	Elias v. Merrill Lynch	New York	3/8/2010	5/10/2011	Y	G		x		Clm Wthdn	253.8	0		0%
10-01143	Smolensky v. Neuberger Berman	Tampa	3/8/2010	9/26/2011	N	D				Cs Win				
10-01149	Brown v. Neuberger Berman	Los Angeles	3/9/2010	6/10/2011	N	D				Rs Win				
10-01154	Perea v. Ameriprise Financial	Des Moines	3/8/2010	11/3/2011	Y	G			x	Stipulated	506	-1		
10-01168	Reynolds v. Sagepoint Financial	Los Angeles	3/10/2010	1/19/2011	N	G	x			Stipulated	188.5	-1		
10-01182	Semones v. Edward D Jones	Richmond	3/9/2010	1/31/2011	Y	G		x		Stipulated	125.5	-1		
10-01188	Char v. Charles Schwab	San Francisco	3/10/2010	2/14/2011	N	G	x			Stipulated	14.5	-1		
10-01196	Haslinger v. Merrill Lynch	Cleveland	3/11/2010	1/3/2012	N	G		x		Stipulated	1000	-1		

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10-01204	Germano v. Merrill Lynch	Boston	3/12/2010	5/10/2011	N	G	x	x		Stipulated	0	-1		
10-01209	Kramer v. Wachovia Securities	Newark	3/11/2010	8/3/2011	Y	D				Cs Win				
10-01220	Lazar v. Charles Schwab	Wilmington	3/12/2010	7/2/2012	N	G			x	Stipulated	82.4	-1		
10-01287	Olson v. Scottrade Incorporated	PP	3/12/2010	11/9/2010	Y	D				Rs Win	18	0		0%
10-01290	Cipollaro v. Morgan Stanley	New York	3/16/2010	3/2/2011	N	G		x		Rs Win	400	0		0%
10-01294	Seitter v. SunTrust Investment	Raleigh	3/15/2010	12/1/2010	Y	D				Rs Win				
10-01317	Flores v. Lopez	San Juan	3/15/2010	11/9/2011	Y	G	x			Stipulated	2700	-1		
10-01320	Neuss v. Wells Fargo	Los Angeles	3/15/2010	9/6/2011	Y	G	x			Stipulated	2108	-1		
10-01336	Pierotti v. Edward D Jones	Memphis	3/16/2010	2/22/2011	Y	G		x		Rs Win	15.6	0		0%
10-01357	Griglak v. Riccelli	PP	3/19/2010	11/15/2010	Y	D				Rs Win				
10-01367	Campanelli v. Ameriprise Financial	PP	3/19/2010	11/2/2010	Y	D				Cs Win				
10-01395	Possidente v. UBS Financial	New York	3/23/2010	1/20/2012	N	G	x			Stipulated	400	-1		
10-01403	Alliance Semiconductor v. JP Morgan	San Francisco	3/23/2010	11/7/2011	N	D				Rs Win				
10-01449	Velka v. Orr	Los Angeles	3/22/2010	7/20/2011	Y	G		x		Clm Wthdn	50	0		0%
10-01452	Michaliga v. Citigroup Global	Philadelphia	3/26/2010	11/15/2011	Y	D				Rs Win				
10-01454	Palas v. Wells Fargo	Minneapolis	3/19/2010	5/22/2012	Y	G	x			Rs Win	100	0		0%
10-01456	Goldman v. U.S Bancorp	Cleveland	3/22/2010	4/26/2011	Y	D				Rs Win				
10-01482	Niethammer v. Edward D Jones	Charlotte	4/30/2010	7/1/2011	Y	G	x	x		Stipulated	45.7	-1		
10-01483	Story v. Beaudry	Hartford	3/30/2010	8/17/2011	Y	D				Rs Win				
10-01484	Marino v. Merrill Lynch	Philadelphia	3/30/2010	7/7/2011	N	G			x	Stipulated	135.9	-1		
10-01485	Niesen v. Hennion & Walsh	New York	3/26/2010	7/8/2011	N	G	x	x		Rs Win	50	0		0%
10-01486	Topple v. Raymond James	New York	3/26/2010	8/14/2012	Y	D				Rs Win				
10-01490	Windt v. Jesup & Lamont	Tampa	3/26/2010	6/20/2011	Y	G	x		x	Clm Wthdn	47.5	0		0%
10-01522	Schulz v. Fidelity Brokerage	New York	3/29/2010	3/13/2012	N	G	x			Stipulated	64	-1		

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10-01533	Kort v. Metzger	Los Angeles	3/25/2010	8/30/2011	Y	D				Rs Win				
10-01534	Janousek v. Citigroup Global	Milwaukee	3/29/2010	11/7/2011	Y	D				Cs Win				
10-01540	Logiudice v. Stifel Nicolaus	Hartford	4/1/2010	8/7/2012	Y	D				Rs Win				
10-01545	Maguire v. Dahl	Los Angeles	3/31/2010	11/2/2011	Y	G	x			Cs Win	400	12.5	Bkr (G)	3%
10-01546	Inbar-Greco v. Merrill Lynch	Los Angeles	3/31/2010	7/5/2011	Y	G	x			Rs Win	453	0		0%
10-01584	Weinberg v. Janney Montgomery	Philadelphia	3/31/2010	7/14/2011	Y	G	x	x		Stipulated	500	-1		
10-01590	Broomfield v. Jones	Portland	4/2/2010	4/6/2011	Y	G	x			Rs Win	50	0		0%
10-01604	Hage v. Merrill Lynch	Raleigh	3/31/2010	9/6/2011	Y	G	x			Rs Win	5	0		0%
10-01606	Ragsdale v. Morgan Stanley	Houston	3/31/2010	5/24/2011	N	D				Cs Win				
10-01620	Eckrod v. E*Trade Securities	Richmond	4/6/2010	5/4/2011	N	G			x	Stipulated	1050	-1		
10-01624	Jones v. Hollaender	San Francisco	4/6/2010	8/31/2011	Y	G	x		x	Stipulated	589.8	-1		
10-01631	Manners v. Oppenheimer & Company	Los Angeles	4/2/2010	12/20/2010	Y	D				Rs Win				
10-01641	Bochner v. McDonald	Los Angeles	4/21/2010	7/20/2011	Y	G			x	Stipulated	762.9	-1		
10-01647	Foster v. Private Asset	Dallas	4/5/2010	2/21/2012	Y	G			x	Stipulated	200	-1		
10-01665	Motwani v. Merrill Lynch	San Diego	4/9/2010	11/27/2012	N	G		x		Stipulated	207	-1		
10-01670	Knapp v. UBS Financial	Phoenix	4/8/2010	9/21/2011	Y	G	x	x		Stipulated	500	-1		
10-01674	Dines v. TD Ameritrade	Detroit	4/6/2010	12/27/2011	Y	G	x		x	Stipulated	300	-1		
10-01684	Brill v. Kimball & Cross	Philadelphia	4/8/2010	1/13/2012	Y	D				Cs Win				
10-01695	Newton v. SunTrust Bank	Jacksonville	4/9/2010	6/27/2011	Y	G	x			Stipulated	350	-1		
10-01700	Emigh v. Wedbush Securities	San Francisco	4/9/2010	8/4/2011	Y	G		x		Rs Win	2500	0		0%
10-01708	Rich v. Comerica Securities	Detroit	4/9/2010	2/15/2011	Y	D				Rs Win				
10-01719	Schiff v. Scottrade Incorporated	PP	4/13/2010	11/9/2010	Y	D				Rs Win	10	0		0%
10-01721	Berglund v. Charles Schwab	Manchester	4/12/2010	4/12/2011	Y	G			x	Stipulated	16.4	-1		

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10-01722	Mayeaux v. Smith Barney	New Orleans	4/12/2010	10/17/2012	Y	G		x	x	Rs Win	521.9	0		0%
10-01725	Brogden v. Merrill Lynch	Portland	4/12/2010	10/4/2011	Y	D				Cs Win				
10-01739	Kane v. National Securities	New York	4/13/2010	8/12/2011	Y	G			x	Stipulated	179.6	-1		
10-01775	Larson v. Wells Fargo	Milwaukee	4/12/2010	7/20/2012	Y	D				Cs Win				
10-01800	Hair v. SunAmerica Securities	Phoenix	8/9/2010	1/7/2011	Y	G	x		x	Stipulated	1100	-1		
10-01802	Reardon v. UBS Financial	Chicago	4/12/2010	12/10/2012	N	G	x	x	x	Stipulated	6000	-1		
10-01807	Raynor v. Starling	PP	4/13/2010	11/19/2010	Y	D				Rs Win				
10-01844	Ayers v. AG Edwards	Tampa	4/14/2010	4/25/2011	N	G	x			Rs Win	1895.7	0		0%
10-01895	Warburton v. Charles Schwab	Boca Raton	4/21/2010	4/8/2011	N	G			x	Stipulated	610.6	-1		
10-01923	Kramer v. Morgan Stanley	Philadelphia	4/22/2010	12/14/2011	N	G			x	Stipulated	100	-1		
10-01950	Deckmann v. Kief	PP	4/23/2010	9/24/2010	Y	D				Cs Win				
10-01951	Lublin v. Merrill Lynch	Hartford	4/26/2010	8/31/2012	Y	G		x		Stipulated	293.6	-1		
10-01953	Heenan v. Janney Montgomery	Philadelphia	4/22/2010	6/9/2011	N	D				Rs Win				
10-01972	Traficante v. UBS Financial	Washington	4/27/2010	5/31/2011	N Y-D	G			x	Stipulated	0	-1		
10-01997	Bradshaw v. Wachovia Securities	Anniston	4/27/2010	6/29/2011	Y	D				Cs Win				
10-02006	Ball v. Jimenez	San Diego	4/28/2010	8/12/2011	Y	G		x		Stipulated	270	-1		
10-02011	Fela v. Caprio	Newark	4/29/2010	9/23/2011	Y	G	x	x	x	Stipulated	100	-1		
10-02017	Piskozub v. Citigroup Global	PP	4/9/2010	2/25/2011	Y	G		x		Rs Win	16.7	0		0%
10-02019	Palmieri v. Citigroup Global	Boca Raton	4/29/2010	2/17/2012	N	G		x		Stipulated	500	-1		
10-02024	Muri v. Morgan Stanley	Phoenix	4/27/2010	7/19/2011	Y	G		x	x	Rs Win	127	0		0%
10-02055	Phillips v. Wells Fargo	Charlotte	4/28/2010	4/27/2012	N	G		x		Stipulated	5000	-1		
10-02056	Cygnex LLC v. Goldman Sachs	Tampa	5/3/2010	4/12/2012	N	G		x	x	Stipulated	1822	-1		
10-02060	CLD LLC v. Corradini	Denver	5/1/2010	3/21/2012	Y	G	x	x	x	Stipulated	1071.5	-1		
10-02080	Rothschild v. Citigroup Global	Tampa	5/3/2010	11/21/2011	N	G	x	x		Stipulated	382	-1		
10-02145	Vana v. Fidelity Brokerage	Chicago	5/1/2010	1/26/2012	N	G		x		Stipulated	300	-1		

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10-02151	Millis v. Morgan Stanley	Philadelphia	5/6/2010	10/27/2011	Y	G		x		Rs Win	330	0		0%
10-02162	Tyler v. Raymond James	Dallas	5/5/2010	5/10/2011	BD only	D				Cs Win				
10-02176	Barash v. Dawson James	Boca Raton	4/28/2010	12/20/2012	Y	G		x		Stipulated	500	-1		
10-02198	Hamburg v. Wells Fargo	Boca Raton	5/4/2010	11/27/2012	N	G	x	x		Stipulated	400	-1		
10-02200	Harvey v. McKinley	Richmond	5/7/2010	10/5/2011	Y	G		x		Rs Win	1730.4	0		0%
10-02204	Miller v. Edward D Jones	Seattle	5/4/2010	9/22/2011	Y	D				Rs Win				
10-02215	Horn v. Carey	New York	5/7/2010	12/12/2011	Y	G	x			Stipulated	1024	-1		
10-02239	Fuchs v. Caplin	PP	5/11/2010	12/1/2010	Y	D				Rs Win				
10-02252	Robb v. Neuberger Berman	Chicago	5/11/2010	7/15/2011	Y	G			x	Cs Win	7561	5052.5	BD, Bkr	67%
10-02267	Cross v. UBS Financial	Memphis	5/13/2010	12/19/2011	N	G		x		Stipulated	100	-1		
10-02268	Bueno v. Global Strategic	Miami	5/10/2010	7/18/2011	Y	G			x	Stipulated	436	-1		
10-02276	Ralston v. Syndicated Capital	Los Angeles	5/13/2010	7/7/2011	Y	D				Cs Win				
10-02280	Phillips v. Woodbury Financial	Phoenix	5/11/2010	6/5/2012	N	G		x		Cs Win	245	171.5	BD	70%
10-02298	Kennedy v. Audia	Richmond	5/13/2010	1/12/2012	Y	G			x	Stipulated	195	-1		
10-02299	Dramm Incorporated v. UBS Financial	Miami	5/12/2010	11/16/2011	N	G	x	x		Stipulated	3840	-1		
10-02321	Steinberg v. Prime Capital	Boca Raton	5/11/2010	10/12/2011	Y	G	x	x	x	Stipulated	230	-1		
10-02327	Cain v. Wachovia Securities	PP	5/11/2010	1/20/2011	Y	D				Rs Win				
10-02338	Rowland v. Merrill Lynch	Minneapolis	5/14/2010	9/2/2011	N	D				Cs Win				
10-02339	Madhok v. Charles Schwab	San Francisco	6/9/2010	11/15/2011	N	G	x	x		Rs Win	831	0		0%
10-02350	Colon v. Castaner	San Juan	5/12/2010	6/8/2012	Y	G	x		x	Rs Win	83.6	0		0%
10-02365	Lapine v. Select Portfolio	Detroit	5/17/2010	9/27/2011	Y	D				Cs Win				
10-02367	Chrostowski v. UBS Financial	Detroit	5/14/2010	6/10/2011	Y	G		x		Rs Win	95	0		0%
10-02406	Schanin v. Merrill Lynch	Denver	5/19/2010	6/29/2012	Y	G	x	x	x	Stipulated	1600	-1		
10-02412	Wright v. Kaplow	Philadelphia	5/19/2010	7/13/2011	Y	D				Rs Win				
10-02435	Trowbridge v. Capital One	New Orleans	5/19/2010	6/24/2011	Y	G	x			Rs Win	184.3	0		0%

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10-02446	Church Resource v. Charles Schwab	Los Angeles	5/21/2010	2/23/2011	Y	G		x		Stipulated	678.2	-1		
10-02481	Plesh v. Crowell Weedon	Los Angeles	5/25/2010	4/11/2011	Y	G	x	x		Rs Win	72	0		0%
10-02489	Daniels v. Merrill Lynch	Philadelphia	5/26/2010	8/9/2011	Y	G			x	Stipulated	168	-1		
10-02503	Ochoa Garcia v. UBS Financial	San Juan	5/25/2010	1/30/2012	N	G	x			Stipulated	24275	-1		
10-02524	Massello v. Merrill Lynch	Boca Raton	5/27/2010	3/7/2011	N	D				Cs Win				
10-02529	Jones v. Merrill Lynch	Boise	5/24/2010	9/16/2011	N	G		x		Rs Win	0	0		
10-02564	Lupino v. Martinovich	Norfolk	5/28/2010	6/28/2011	Y	D				Cs Win				
10-02569	Jones v. Ferris Baker	Charleston	5/26/2010	7/26/2011	N	G			x	Stipulated	86	-1		
10-02590	Arena v. Schneider	Phoenix	6/1/2010	5/24/2012	Y	G	x	x		Stipulated	250	-1		
10-02592	Shore v. Chauner Securities	San Francisco	6/2/2010	9/27/2011	Y	D				Stipulated				
10-02604	Russell v. Morgan Stanley	Boca Raton	6/10/2010	9/9/2011	N	G			x	Cs Win	33.8	37.6	BD	111%
10-02613	Chouinard v. Charles Schwab	Miami	6/2/2010	5/26/2011	N	G			x	Stipulated	100	-1		
10-02632	Kline Enterprises v. Securities America	Los Angeles	6/3/2010	1/6/2012	Y	D				Stipulated				
10-02643	Masucci v. Crumrine	Philadelphia	6/2/2010	4/26/2012	Y	G		x		Rs Win	200	0		0%
10-02646	West v. UBS Financial	New York	6/4/2010	11/17/2011	N	D				Rs Win				
10-02664	Ginsburg v. Sanford C. Bernstein	New York	6/7/2010	6/24/2011	Y	G	x			Rs Win	2000	0		0%
10-02669	Stolaruk v. Pershing LLC	Detroit	6/3/2010	11/10/2011	Y	D				Cs Win				
10-02673	Daversa v. Cole	PP	6/4/2010	5/2/2011	Y	G	x	x		Rs Win	6	0		0%
10-02681	Ratzlaff v. Morgan Stanley	Tampa	6/7/2010	4/29/2011	N	D				Rs Win				
10-02682	Warwick v. Morgan Keegan	Jackson	6/1/2010	2/23/2012	N	D				Rs Win				
10-02691	Feduniw v. Crowell Weedon	Los Angeles	6/3/2010	2/15/2011	Y	G	x	x	x	Stipulated	788.2	-1		
10-02693	Halter v. RBC Capital	Newark	6/9/2010	8/26/2011	Y	G	x			Stipulated	31.7	-1		
10-02710	O'Connor v. Fleming	Boston	6/10/2010	7/7/2011	Y	G		x		Rs Win	51.8	0		0%

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10-02723	Gordo-Martino v. UBS Financial	San Juan	6/7/2010	6/24/2011	Y	G	x			Stipulated	1783.1	-1		
10-02727	Moore v. Charles Schwab	San Diego	6/8/2010	4/27/2012	N	G			x	Stipulated	121	-1		
10-02737	Tanner v. Oppenheimer & Company	Newark	6/10/2010	12/14/2011	Y	G		x		Rs Win	282.4	0		0%
10-02745	Scolet v. Edward D Jones	Boise	6/9/2010	9/26/2011	N	G		x		Stipulated	500	-1		
10-02756	Stapleton v. Wachovia Securities	Tampa	6/7/2010	4/23/2012	N	G	x			Stipulated	300	-1		
10-02759	Saadeh Corporation v. Merrill Lynch	San Francisco	6/11/2010	10/14/2011	N	G		x	x	Rs Win	1000	0		0%
10-02760	Witkin v. Citigroup Global	Denver	6/29/2010	8/28/2012	N	G			x	Stipulated	185.5	-1		
10-02766	Richtsmeier v. Kalisz	Los Angeles	6/11/2010	5/24/2011	Y	G			x	Stipulated	313.5	-1		
10-02769	Deiss v. Merrill Lynch	Chicago	6/9/2010	12/5/2011	Y	D				Rs Win				
10-02777	Schreiber v. Smith Barney	Southfield	6/11/2010	5/23/2012	N	D				Cs Win				
10-02820	Weintraub v. Banc of America	New York	6/14/2010	7/28/2011	N	G		x		Stipulated	100	-1		
10-02830	Geldreich v. WM Financial	Seattle	6/16/2010	3/15/2012	Y	G	x			Stipulated	633	-1		
10-02831	Schreiber v. Charles Schwab	Los Angeles	6/16/2010	5/13/2011	N	G			x	Stipulated	200	-1		
10-02867	Calabrese v. Hurley	Philadelphia	6/17/2010	1/4/2012	Y	G		x		Rs Win	99	0		0%
10-02869	Fives-Taylor v. AXA Advisors	Montpelier	6/18/2010	11/14/2011	Y	G		x		Stipulated	212	-1		
10-02870	Lynn v. Stifel Nicolaus	Cleveland	6/18/2010	8/12/2011	Y	G		x	x	Stipulated	791.5	-1		
10-02880	Townsend v. Charles Schwab	San Francisco	6/18/2010	9/25/2012	N	G	x			Stipulated	229.7	-1		
10-02881	Minar v. Charles Schwab	Portland	6/14/2010	5/3/2011	N	G			x	Stipulated	269.5	-1		
10-02897	Grossman v. Morgan Stanley	New York	6/21/2010	6/29/2012	N	D				Rs Win				
10-02919	Baggarly v. Charles Schwab	Los Angeles	6/19/2010	5/10/2011	N	G			x	Stipulated	34.5	-1		
10-02924	Burch v. SWS Financial	Oklahoma City	6/22/2010	3/13/2012	Y	D				Rs Win				
10-02941	Samuels v. UBS Financial	Los Angeles	6/23/2010	9/14/2012	N	G	x			Stipulated	100	-1		
10-02943	Stewart v. Morgan Keegan	Louisville	6/22/2010	12/5/2011	Y	D				Cs Win				

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10-02944	Trani v. B.C. Ziegler	Hartford	6/24/2010	11/10/2011	Y	G	x	x	x	Rs Win	417	0		0%
10-02949	Russo v. Ameriprise Financial	New York	6/22/2010	9/13/2011	N	G	x	x		Stipulated	160	-1		
10-02950	Guido v. Citigroup Global	New York	6/22/2010	11/1/2011	N	G		x		Stipulated	250	-1		
10-02976	Moskowitz v. Patterson	Miami	6/23/2010	6/21/2011	Y	G	x			Stipulated	0	-1		
10-02979	Stafford v. Morgan Stanley	Los Angeles	7/13/2010	11/18/2011	N	G	x			Rs Win	1294.8	0		0%
10-02988	Chesnut v. Gatto	PP	6/23/2010	6/30/2011	Y	G			x	Cs Win	13.2	10.8	BD, Bkr ($10.7)	82%
10-02994	Thornton v. Morgan Stanley	Birmingham	6/24/2010	10/18/2011	N	G	x			Stipulated	100	-1		
10-03001	Mays v. Ameriprise Financial	San Diego	6/23/2010	1/9/2012	Y	G	x		x	Rs Win	650.7	0		0%
10-03006	Lockwood v. Citigroup Global	Chicago	6/24/2010	1/17/2012	Y	G		x		Stipulated	312.8	-1		
10-03012	Dugan v. Charles Schwab	Boston	6/29/2010	10/21/2011	N	G			x	Stipulated	342.4	-1		
10-03018	Gill v. SunTrust Investment	Raleigh	6/29/2010	9/26/2011	Y	G	x	x	x	Stipulated	50	-1		
10-03052	Giacomantonio v. Directed Services	Detroit	6/30/2010	7/30/2012	Y	D				Cs Win				
10-03065	Kulekofsky v. Advest Incorporated	Boca Raton	6/29/2010	8/21/2012	Y	G			x	Stipulated	1114	-1		
10-03083	Schultz v. Deighan	Orlando	7/1/2010	10/11/2011	Y	D				Cs Win				
10-03084	Smith v. Wells Fargo	Tampa	6/29/2010	11/11/2011	N	G			x	Cs Win	540.5	55.5	BD	10%
10-03086	Binder v. Edward D Jones	Helena	6/30/2010	6/13/2011	Y	G		x		Stipulated	70	-1		
10-03090	Cooley v. Morgan Stanley	San Francisco	6/30/2010	4/10/2012	N	G	x	x		Stipulated	340	-1		
10-03102	Esrick Investments v. JP Morgan	Boca Raton	7/1/2010	5/23/2012	N	G			x	Rs Win	1000	0		0%
10-03103	Gloetzner v. Wells Fargo	Boca Raton	7/1/2010	1/25/2012	N	G		x		Stipulated	100	-1		
10-03122	Fulda v. Greenlinger	Baltimore	7/8/2010	5/13/2011	Y	G		x	x	Rs Win	226.2	0		0%
10-03151	Gershon v. Wells Fargo	Detroit	7/1/2010	6/7/2011	BD only	D				Cs Win				
10-03166	Speight v. Wells Fargo	Charlotte	7/6/2010	9/27/2011	Y	G		x		Stipulated	168	-1		

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10-03173	Ditillo v. UBS Financial	New York	7/12/2010	3/14/2012	Y	G		x		Clm Wthdn	102.6	0		0%
10-03186	Duhon v. Merrill Lynch	Houston	7/9/2010	11/21/2011	Y	G	x			Stipulated	250	-1		
10-03196	Berman v. Goldman Sachs	Boston	7/13/2010	1/13/2012	N	G	x			Stipulated	835	-1		
10-03212	O'Brien v. Morgan Stanley	Boca Raton	7/12/2010	12/27/2011	N	G		x		Stipulated	200	-1		
10-03222	Hanna v. CapWest Securities	Los Angeles	7/13/2010	10/12/2011	Y	G	x		x	Rs Win	2617.5	0		0%
10-03226	Ozark v. Hoban	Philadelphia	8/3/2010	7/20/2011	Y	G		x		Rs Win	9.6	0		0%
10-03241	Liotti v. Morgan Wilshire	New York	7/15/2010	6/24/2011	BD only	D				Cs Win				
10-03266	Meranda v. Schlager	Memphis	7/14/2010	5/10/2011	Y	G		x		Clm Wthdn	38	0		0%
10-03269	Lemings v. Anderson	San Francisco	7/14/2010	9/10/2012	Y	G	x			Stipulated	60	-1		
10-03270	Swedelson v. RBC Dain Rauscher	Los Angeles	7/13/2010	10/19/2011	Y	D				Cs Win				
10-03277	Chen v. Charles Schwab	Minneapolis	7/16/2010	8/5/2011	Y	G	x			Stipulated	19.3	-1		
10-03322	Zisman v. LPL Financial	Orlando	7/22/2010	12/5/2012	Y	G	x	x		Stipulated	1500	-1		
10-03334	Lucchese v. Citi Smith Barney	Boston	7/22/2010	10/12/2011	Y	G	x			Rs Win	100	0	Cmr	0%
10-03335	Winograd v. Citigroup Global	Newark	7/22/2010	5/31/2012	Y	G	x	x		Rs Win	1600	0		0%
10-03343	Becker v. Melikidse	Los Angeles	7/22/2010	8/31/2011	Y	G		x		Stipulated	700	-1		
10-03355	Olson V. Gannett	PP	7/23/2010	3/8/2011	Y	D				Cs Win				
10-03357	Witenoff v. Wells Fargo	PP	7/23/2010	3/7/2011	Y	D				Cs Win				
10-03368	Hall v. First Republic	San Francisco	7/26/2010	4/16/2012	N	D				Rs Win				
10-03405	Roberts v. Citigroup Global	Boca Raton	6/27/2010	12/2/2011	N	G		x		Stipulated	160	-1		
10-03408	ARI-COP 12 v. Marina	Las Vegas	7/26/2010	1/19/2012	Y	G		x		Stipulated	186	-1		
10-03425	Hempfling v. Nilson	Fort Lauderdale	7/26/2010	2/15/2012	Y	G	x			Stipulated	750	-1		
10-03470	Flores v. Davidson	New York	8/2/2010	7/19/2011	Y	G			x	Cs Win	12.6	9.6	Bkr	76%
10-03471	Lane v. Leone	New York	8/2/2010	12/22/2011	Y	G	x		x	Stipulated	300	-1		
10-03472	Hardy v. Stifel Nicolaus	New Orleans	7/26/2010	11/15/2011	N	G		x		Stipulated	200	-1		
10-03477	Andresen v. The Investment Center	Seattle	7/30/2010	10/20/2011	BD only	D				Rs Win				

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10-03480	Shahrestany v. Morgan Stanley	Los Angeles	7/27/2010	7/15/2011	Y	G		x		Rs Win	250	0		0%
10-03498	Wylie v. Morgan Stanley	Kansas City	8/3/2010	8/23/2012	N	D				Cs Win				
10-03553	Casey v. Advest Incorporated	Tampa	8/6/2010	6/21/2012	N	G		x		Stipulated	164	-1		
10-03555	D'Aversa v. Howard	New Orleans	8/5/2010	2/27/2012	Y	G	x			Rs Win	8	0		0%
10-03580	Douglas v. Ameriprise Financial	Birmingham	8/6/2010	10/12/2011	N	G	x	x		Stipulated	0	-1		
10-03587	Tronsrue v. Scott	Seattle	8/6/2010	8/19/2011	Y	D				Stipulated				
10-03591	Conde v. Colberg	New York	8/6/2010	3/29/2012	Y	G		x		Stipulated	900	-1		
10-03602	Nernoff v. Lex	Philadelphia	8/9/2010	4/4/2012	Y	D				Rs Win				
10-03605	Mladenoff v. Edward D Jones	Philadelphia	8/11/2010	1/9/2012	Y	D				Cs Win				
10-03610	Fanella v. Charles Schwab	PP	8/10/2010	2/22/2011	N	D				Cs Win				
10-03633	Raybois v. Pacific West	Seattle	8/11/2010	4/5/2012	Y	D				Rs Win				
10-03635	Wall v. Janney Montgomery	Philadelphia	8/10/2010	9/30/2011	Y	G			x	Cs Win	129.4	10	BD	8%
10-03652	Delmauro v. Ameriprise Financial	New York	8/12/2010	3/29/2012	N	G	x			Stipulated	100	-1		
10-03663	Flores v. UBS Financial	San Juan	8/11/2010	5/4/2012	Y	G	x			Stipulated	255	-1		
10-03672	Scholl v. Ameriprise Financial	Milwaukee	8/11/2010	11/3/2011	N	G		x		Stipulated	500	-1		
10-03684	Kridel v. Smith Barney	New York	8/13/2010	8/2/2011	Y	G	x			Rs Win	60	0		0%
10-03719	Beattie v. Merrill Lynch	Orlando	8/17/2010	11/4/2011	N	D				Cs Win				
10-03743	Wagner v. Dolhare	Los Angeles	8/16/2010	5/8/2012	Y	D				Cs Win				
10-03778	Stapleton v. Wells Fargo	Orlando	8/18/2010	8/4/2011	N	D				Rs Win				
10-03779	Osofsky v. Morgan Stanley	Columbia	8/17/2010	11/23/2011	Y	G	x	x		Rs Win	46	0		0%
10-03782	Pine v. Wells Fargo	Memphis	8/23/2010	6/1/2011	Y	D				Rs Win				
10-03793	Rivadavia SA v. UBS Financial	Miami	8/23/2010	5/4/2012	Y	D				Rs Win				
10-03815	McCloud v. Morgan Stanley	PP	8/24/2010	2/17/2011	N	G		x		Rs Win	25	0		0%
10-03819	Williams v. Shaffer	Atlanta	8/25/2010	6/15/2011	Y	G			x	Stipulated	225	-1		

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10-03824	Daige v. Wells Fargo	Albuquerque	8/26/2010	11/16/2011	N	G			x	Stipulated	95	-1		
10-03876	Minnema v. E*Trade Securities	Newark	8/30/2010	6/28/2011	N	G			x	Stipulated	150	-1		
10-03880	Haynes v. Eskridge	Tampa	8/30/2010	2/22/2012	Y	G	x			Stipulated	76.7	-1		
10-03885	Colflesh v. Merrill Lynch	San Francisco	8/26/2010	6/28/2012	Y	G		x		Stipulated	1000	-1		
10-03886	Giannini v. Lent	San Francisco	8/25/2010	2/2/2012	Y	G			x	Cs Win	196.1	23	Bkr	12%
10-03910	Fragala v. Morgan Stanley	New York	8/30/2010	4/20/2012	N	G		x	x	Stipulated	300	-1		
10-03922	Intagliata v. Royal Alliance	St. Louis	8/30/2010	11/11/2011	N	G	x	x		Rs Win	33.9	0		0%
10-03941	Rohloff v. Arburn	San Francisco	9/1/2010	10/8/2012	Y	G		x		Stipulated	3660.4	-1		
10-03972	Apel v. Gold	Miami	8/27/2010	11/14/2011	Y	G		x		Rs Win	445.6	0		0%
10-03985	McDonald v. Edward D Jones	PP	8/31/2010	4/26/2011	Y	G		x		Cs Win	15	15	BD	100%
10-03998	Marshall v. Charles Schwab	PP	9/3/2010	3/15/2011	N	D				Cs Win				
10-04009	Campbell v. Baker	New Orleans	9/7/2010	6/28/2012	Y	G	x	x	x	Stipulated	0	-1		
10-04022	Vogelbach v. Quincy Cass	Los Angeles	9/8/2010	8/13/2012	Y	G	x	x		Rs Win	526	0	Cmr	0%
10-04042	Jakas v. Fidelity Brokerage	Philadelphia	9/8/2010	5/25/2012	N	G			x	Stipulated	1000	-1		
10-04062	Iandiorio v. Wells Fargo	San Francisco	9/10/2010	12/16/2011	N	G		x		Stipulated	400	-1		
10-04064	Messier v. Banc of America	Providence	9/9/2010	6/6/2012	Y	G	x	x		Rs Win	37.8	0		0%
10-04068	Kaltrider v. Merrill Lynch	Buffalo	9/8/2010	12/13/2011	Y	D				Cs Win				
10-04120	Pihlak v. Edward D Jones	Dallas	9/10/2010	9/9/2011	N	D				Cs Win				
10-04142	Bender v. Edward D Jones	Phoenix	9/14/2010	8/19/2011	Y	D				Rs Win				
10-04145	Fraser v. Oppenheimer & Company	Detroit	9/10/2010	10/17/2011	Y	D				Cs Win				
10-04152	DiSchino v. Morgan Stanley	Boca Raton	9/13/2010	4/26/2012	N	G			x	Stipulated	80	-1		
10-04159	Schwarz v. Barlow	Philadelphia	9/13/2010	10/12/2011	Y	D				Cs Win				
10-04192	Zeigon v. First Republic	San Francisco	9/15/2010	3/29/2012	N	D				Cs Win				
10-04202	Papasergiou v. Citigroup Global	New York	9/17/2010	3/21/2012	N	G	x	x		Stipulated	1000	-1		
10-04224	Reech v. Citigroup Global	New Orleans	9/15/2010	12/22/2011	N	D				Cs Win				

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10-04264	Oslick v. Cordasco	Philadelphia	9/22/2010	11/30/2011	Y	G			x	Stipulated	25	-1		
10-04272	Perillo v. Citigroup Global	Phoenix	9/22/2010	11/4/2011	N	G	x	x		Rs Win	111.9	0		0%
10-04291	Wechsler v. Isdith	Boca Raton	9/23/2010	10/4/2012	Y	D				Cs Win				
10-04294	Lima v. Flater	San Francisco	9/22/2010	4/12/2012	Y	G	x		x	Stipulated	250	-1		
10-04306	Roderick v. Merrill Lynch	Boston	9/22/2010	1/23/2012	N	G	x	x		Stipulated	203	-1		
10-04326	Goodstein v. Bedard	Boca Raton	9/22/2010	12/14/2011	Y	D				Cs Win				
10-04330	Johnson v. Theis	Phoenix	9/24/2010	5/1/2012	Y	D				Cs Win				
10-04341	O'Brien v. Feely	PP	9/27/2010	4/26/2011	Y	G		x		Rs Win	2.2	0		0%
10-04344	Legends Bank v. Morgan Keegan	Nashville	9/23/2010	7/20/2011	N	G	x			Stipulated	2000	-1		
10-04349	Hirschtritt v. Lee	Fort Lauderdale	9/24/2010	2/9/2012	Y	G		x		Rs Win	35.6	0	Cmr	0%
10-04359	High Ridge Fire v. LPL Financial	St. Louis	9/24/2010	6/13/2012	Y	G		x	x	Stipulated	100	-1		
10-04362	Royers v. Edward D Jones	Cincinnati	9/28/2010	11/4/2011	Y	G		x		Stipulated	0	-1		
10-04364	Zaidel v. Ameriprise Financial	Syracuse	9/27/2010	8/31/2012	Y	G		x		Stipulated	500	-1		
10-04374	Wiley v. Ameriprise Financial	Kansas City	9/24/2010	11/22/2011	N	D				Rs Win				
10-04402	Reitman v. RW Baird	Milwaukee	9/27/2010	2/9/2012	Y	D				Cs Win				
10-04406	Borden v. Janney Montgomery	Philadelphia	9/30/2010	11/21/2011	N	G		x		Stipulated	100	-1		
10-04410	Jones v. Bronstein	Newark	9/28/2010	4/11/2012	Y	D				Cs Win				
10-04424	Colombino v. Elghandour	New York	10/1/2010	10/7/2011	Y	G	x	x	x	Stipulated	106.3	-1		
10-04428	Gordon v. MetLife Securities	PP	9/29/2010	4/28/2011	Y	D				Cs Win				
10-04433	Daffer v. Edward D Jones	Portland	9/29/2010	4/27/2012	Y	D				Rs Win				
10-04436	McCarthy v. Morgan Stanley	Los Angeles	9/20/2010	5/3/2011	N	G		x		Rs Win	15.5	0		0%
10-04445	Cohen v. Securities America	Orlando	9/29/2010	9/2/2011	N	G	x	x		Stipulated	21	-1		
10-04446	Miller v. Cvach	Baltimore	10/4/2010	12/9/2011	Y	D				Cs Win				
10-04475	McKinley v. Lozano	Los Angeles	10/5/2010	3/2/2012	Y	G			x	Stipulated	670.4	-1		
10-04476	Korbelik v. Barberis	Denver	10/5/2010	8/17/2012	Y	G	x	x		Rs Win	5350	0	Cmr	0%
10-04477	Lengacher v. Edward D Jones	Indianapolis	10/5/2010	1/11/2012	N	G	x	x		Stipulated	0	-1		

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10-04480	Hurt v. Edward D Jones	PP	10/6/2010	3/15/2011	Y	D				Rs Win				
10-04493	Donohue v. Allianz Global	Phoenix	11/23/2010	1/9/2012	N	G		x	x	Stipulated	225	-1		
10-04494	Hedlund v. Waveland Capital	San Diego	10/6/2010	10/7/2011	Y	D				Rs Win				
10-04519	Patterson v. Citigroup Global	Nashville	10/6/2010	7/16/2012	N	G			x	Stipulated	100	-1		
10-04520	Wendt v. UBS Financial	Los Angeles	10/5/2010	2/3/2012	N	D				Rs Win				
10-04531	Jones v. Edward D Jones	Raleigh	10/8/2010	12/5/2011	N	G	x			Stipulated	150	-1		
10-04544	Shupe v. Ameriprise Financial	Philadelphia	10/8/2010	6/14/2012	N	G	x	x		Stipulated	275	-1		
10-04564	Rogers v. Cummings	San Francisco	10/5/2010	3/16/2012	Y	D				Cs Win				
10-04585	Snyder v. Crowell Weedon	Los Angeles	10/12/2010	11/16/2012	Y	G		x		Stipulated	250	-1		
10-04618	Gloss v. Wells Fargo	Minneapolis	10/14/2010	1/23/2012	Y	G		x		Stipulated	850	-1		
10-04626	Lee v. Young	New York	10/12/2010	8/17/2011	Y	G		x	x	Rs Win	30	0		0%
10-04646	Kosco v. Morgan Stanley	Phoenix	10/13/2010	9/12/2011	Y	D				Cs Win				
10-04673	Angiolillo v. Neuberger Berman	New York	10/18/2010	9/23/2011	N	D				Cs Win				
10-04690	Marshall v. UBS Financial	Birmingham	10/15/2010	9/30/2011	Y	G	x			Rs Win	51.1	0		0%
10-04709	Tacher-Zavala v. Waddell & Reed	Orlando	10/19/2010	7/25/2012	N	G			x	Stipulated	60	-1		
10-04713	Allan v. Flader	Phoenix	10/20/2010	2/10/2012	Y	G	x	x		Stipulated	887.7	-1		
10-04724	Levy v. SunTrust Investment	Baltimore	10/15/2010	12/13/2012	N	D				Stipulated				
10-04733	NAK Investments v. Saleh	Los Angeles	10/21/2010	5/8/2012	Y	G		x		Stipulated	496	-1		
10-04765	Dyas v. Morgan Stanley	Dallas	10/19/2010	9/14/2012	Y	G		x	x	Stipulated	608.2	-1		
10-04783	Gaertner v. Du Pont	Newark	10/25/2010	12/19/2011	Y	D				Cs Win				
10-04784	Cid v. Abadiotakis	New York	10/25/2010	7/3/2012	Y	G		x		Rs Win	294	0		0%
10-04788	Pavillion Trading v. Transcend Capital	Boise	10/21/2010	9/9/2011	Y	G	x	x		Stipulated	1139.8	-1		
10-04789	Stidd v. Borup	Salt Lake City	10/21/2010	5/4/2012	Y	G			x	Stipulated	840.7	-1		
10-04833	Mitchell-Gears v. McClellan	Phoenix	10/25/2010	2/28/2012	Y	G	x		x	Stipulated	1294	-1		
10-04839	Tubbs v. Ruff	Louisville	10/27/2010	2/10/2012	Y	G		x		Rs Win	22.6	0		0%
10-04851	Jenkins v. Crowell Weedon	Los Angeles	10/21/2010	3/1/2012	N	D				Cs Win				

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10-04897	Simensky v. UBS Financial	Boca Raton	10/15/2010	5/15/2012	N	G		x		Stipulated	3500	-1		
10-04904	Batten v. Wells Fargo	Tampa	10/29/2010	10/21/2011	Y	G	x			Cs Win	424	109.9	BD	26%
10-04928	Steifman v. Merrill Lynch	New York	11/1/2010	10/15/2012	N	D				Cs Win				
10-04934	Oakes v. Jongewaard	Los Angeles	11/2/2010	2/8/2012	Y	G	x			Stipulated	318.2	-1		
10-04956	Colvin v. Ameriprise Financial	New Orleans	11/3/2010	2/3/2012	Y	G	x		x	Stipulated	0	-1		
10-04961	Mack v. Money Concepts	Columbus	11/2/2010	11/18/2011	N	D				Rs Win				
10-04964	Robinson v. Wells Fargo	Columbia	11/4/2010	12/27/2011	Y	D				Rs Win				
10-04974	Bernard v. Chase Investment	Boca Raton	11/1/2010	12/13/2012	N	G			x	Stipulated	125	-1		
10-04990	Garcia v. Morgan Stanley	Houston	11/2/2010	5/22/2012	N	G	x	x		Rs Win	726	0		0%
10-05023	Huston v. Centaurus Financial	Los Angeles	11/1/2010	9/19/2011	Y	D				Cs Win				
10-05031	Lane v. Merrill Lynch	Los Angeles	11/6/2010	2/23/2012	Y	G		x		Rs Win	1912.6	0		0%
10-05035	Gaynor v. Morgan Stanley	Chicago	11/1/2010	4/27/2012	N	G			x	Stipulated	800	-1		
10-05040	Wisniewski v. Wells Fargo	Chicago	11/2/2010	11/17/2011	N	G	x	x	x	Stipulated	100	-1		
10-05057	Froyd v. Sohovich	PP	11/8/2010	6/17/2011	Y	D				Cs Win				
10-05061	Nethercutt v. Charles Schwab	Seattle	11/4/2010	12/27/2011	Y	G			x	Stipulated	0	-1		
10-05065	Monroy v. Wells Fargo	Houston	11/1/2010	4/20/2012	Y	G	x			Stipulated	120	-1		
10-05074	Crane v. Heath	Albany	11/9/2010	2/3/2012	Y	G	x			Rs Win	13.5	0		0%
10-05078	MorseLife Foundation v. Merrill Lynch	Boca Raton	11/9/2010	8/28/2012	N	G			x	Stipulated	33500	-1		
10-05117	MacCabe v. Cambridge Legacy	Houston	11/3/2010	2/23/2012	Y	G			x	Cs Win	938.1	30	Bkr	3%
10-05119	Benedejcic v. Securities America	Cleveland	11/9/2010	9/11/2012	Y	G			x	Stipulated	6000	-1		
10-05129	Firestone v. Charles Schwab	Los Angeles	11/11/2010	2/3/2012	Y	G			x	Stipulated	273	-1		
10-05133	Booher v. Charles Schwab	PP	11/8/2010	4/11/2011	N	D				Cs Win				
10-05141	Regnier v. Fidelity Brokerage	Boston	11/8/2010	11/14/2012	N	G		x		Rs Win	50	0		0%

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10-05144	Jester v. UBS Financial	Raleigh	11/12/2010	3/6/2012	N	G		x		Stipulated	500	-1		
10-05181	Buckley v. Fidelity Brokerage	Chicago	11/11/2010	1/30/2012	N	G	x	x		Rs Win	94.1	0		0%
10-05182	Keen v. Transamerica Financial	St. Louis	11/12/2010	12/19/2012	Y	G	x			Stipulated	263	-1		
10-05193	Altman v. Fidelity Brokerage	New York	11/15/2010	10/12/2011	N	G		x		Cs Win	19.9	6.5	BD	33%
10-05205	Somers v. Jesup & Lamont	Boston	11/17/2010	4/17/2012	Y	D				Rs Win				
10-05206	Johnson v. RBC Capital	Boston	11/15/2010	12/29/2011	N	G		x		Stipulated	500	-1		
10-05212	Brooks v. Rule	Atlanta	11/17/2010	12/8/2011	Y	D				Cs Win				
10-05214	Pell/Cruz Investments v. JP Turner	Miami	11/15/2010	2/8/2012	N	G			x	Stipulated	2400	-1		
10-05215	Hannan v. Wachovia Securities	Tampa	11/15/2010	3/5/2012	Y	D				Cs Win				
10-05238	Hunter v. Wells Fargo	Raleigh	11/16/2010	12/6/2011	N	D				Rs Win				
10-05260	Suitor Dimopoulos v. Wachovia Securities	Boca Raton	11/15/2010	2/16/2012	Y	G			x	Cs Win	32	5	BD	16%
10-05263	Levine v. Guardian Investor	Boca Raton	11/18/2010	2/2/2012	N	D				Cs Win				
10-05264	Conforti v. FSC Securities	Newark	11/16/2010	12/16/2011	Y	G		x		Rs Win	131.8	0		0%
10-05267	Stallsworth-Bassi v. Graumlich	San Francisco	11/16/2010	6/28/2012	Y	G		x		Stipulated	228	-1		
10-05276	Puglisi v. Wells Fargo	New York	11/19/2010	12/23/2011	N	G	x			Stipulated	100	-1		
10-05280	Shuster v. Axiom Capital	Philadelphia	11/19/2010	7/9/2012	Y	G	x			Stipulated	100	-1		
10-05283	Bell v. Citigroup Global	New York	11/18/2010	7/25/2012	Y	G	x			Stipulated	75	-1		
10-05301	Leathers v. Edward D Jones	Detroit	11/17/2010	8/13/2012	Y	D				Rs Win				
10-05310	Elsner v. Clement	Little Rock	11/18/2010	11/25/2011	Y	D				Cs Win				
10-05313	Garrison v. Adams	Seattle	11/18/2010	4/27/2012	Y	D				Rs Win				
10-05324	Rosario Serrano v. Popular Securities	San Juan	11/23/2010	2/3/2012	N	G			x	Stipulated	325	-1		
10-05343	Johnson v. Morgan Stanley	Phoenix	11/24/2010	11/21/2011	N	D				Cs Win				
10-05367	Condon v. Kovack Securities	Los Angeles	11/24/2010	5/4/2012	Y	G		x		Stipulated	1268.3	-1		
10-05371	Schmitt v. Wells Fargo	Boston	11/22/2010	11/9/2011	N	G	x			Rs Win	216.9	0		0%

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10-05380	Charles v. PNC Investments	Newark	11/24/2010	6/28/2012	N	G	x	x		Stipulated	250	-1		
10-05501	Bankenship v. Wells Fargo	Charlotte	12/6/2010	12/2/2011	N	G	x	x	x	Stipulated	450	-1		
10-05524	Robbins v. Wedbush Securities	PP	12/3/2010	9/1/2011	BD only	G	x		x	Cs Win	25	12.4	BD, Bkr	50%
10-05528	Federico v. Stone & Youngberg	San Francisco	12/6/2010	2/28/2012	N	D				Rs Win				
10-05530	Sturgis v. Securities Service	St. Louis	12/6/2010	4/17/2012	N	G	x		x	Stipulated	256	-1		
10-05533	Porco v. Brancazio	Pittsburgh	12/3/2010	2/28/2012	Y	G	x			Rs Win	196	0		0%
10-05543	DeJohn Family v. Commonwealth Financial	Boca Raton	12/10/2010	7/2/2012	N	D				Rs Win				
10-05544	Boykin v. Blondeau	Raleigh	12/10/2010	9/20/2012	Y	G		x		Cs Win	91.9	62	BD, Bkr	67%
10-05548	Immel v. Citigroup Global	Los Angeles	12/8/2010	12/19/2011	N	G		x		Stipulated	43.8	-1		
10-05581	Douglas v. Janney Montgomery	PP	12/14/2010	8/15/2011	Y	G	x	x		Rs Win	13.3	0		0%
10-05584	Najdzin v. E*Trade Securities	Newark	12/14/2010	5/10/2012	Y	G	x	x		Stipulated	125	-1		
10-05587	Rosenfield v. Citigroup Global	Tampa	12/9/2010	3/5/2012	N	D				Cs Win				
10-05599	Graulau Colon v. Citigroup Global	San Juan	12/15/2010	11/20/2012	N	G	x	x	x	Stipulated	0	-1		
10-05616	Blickman v. Compton	Newark	12/8/2010	5/15/2012	Y	G			x	Stipulated	150	-1		
10-05634	Barry v. Ameriprise Financial	Detroit	12/13/2010	5/7/2012	N	G		x		Rs Win	400	0		0%
10-05640	Goodman v. RBC Capital	Helena	12/17/2010	4/5/2012	Y	G	x			Rs Win	529.1	0		0%
10-05647	Bockenstette v. Curley	Jacksonville	12/14/2010	7/19/2012	Y	G	x			Stipulated	400	-1		
10-05662	Conroy v. Siracusano	New York	12/20/2010	3/30/2012	Y	G		x		Rs Win	524.7	0		0%
10-05673	Begley v. Charles Schwab	Nashville	12/17/2010	1/10/2012	N	G			x	Stipulated	100	-1		
10-05677	Stirling v. Dowley	San Francisco	12/20/2010	7/13/2012	Y	G	x			Rs Win	340	0		0%
10-05705	Covill v. Smith	Minneapolis	12/14/2010	1/13/2012	Y	G	x	x		Stipulated	50	-1		
10-05712	Laskey v. RBC Capital	Houston	12/13/2010	3/6/2012	N	G	x			Rs Win	121.8	0		0%
10-05715	MJN Construction v. Cataldo	Boston	12/21/2010	7/9/2012	Y	D				Cs Win				

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10-05719	Cohnen v. JP Morgan	Boca Raton	12/17/2010	6/27/2012	Y	G		x		Rs Win	1400	0		0%
10-05725	Campbell v. Powers-Solomon	Los Angeles	12/17/2010	2/15/2012	Y	G	x			Rs Win	39.2	0		0%
10-05726	Hickle v. Wells Fargo	San Francisco	12/20/2010	12/31/2012	N	G	x			Rs Win	200	0		0%
10-05734	Hockersmith v. Morgan Stanley	PP	12/27/2010	6/17/2011	Y	D				Cs Win				
10-05763	Fowlds v. PNC Investments	PP	12/20/2010	7/21/2011	Y	D				Rs Win				
10-05780	Heater v. Wells Fargo	Los Angeles	12/23/2010	6/6/2012	N	G	x			Stipulated	200	-1		
10-05782	Abbate v. Citigroup Global	Seattle	12/23/2010	10/11/2012	N	G		x		Stipulated	184.5	-1		
10-05795	Fraguada v. RD Capital	San Juan	12/28/2010	10/22/2012	Y	D				Rs Win				
10-05814	Carkeek v. Crown Capital	Las Vegas	12/27/2010	2/24/2012	Y	D				Cs Win				
10-05817	Ruymen v. Morgan Stanley	Newark	12/30/2010	4/13/2012	N	G		x		Stipulated	1000	-1		
10-05820	Gupta v. E*Trade Securities	St. Louis	12/28/2010	4/27/2012	N	G	x			Stipulated	673.8	-1		
10-05821	Lally v. Stifel Nicolaus	PP	12/31/2010	8/23/2011	Y	G		x		Rs Win	5.7	0		0%
10-05826	Houston v. Wells Fargo	Atlanta	12/30/2010	12/1/2011	N	D				Cs Win				
11-00045	Mohan v. Marwill	Houston	12/31/2010	10/25/2011	Y	D				Cs Win				
11-00064	Farmer v. JP Morgan	Denver	1/4/2011	8/27/2012	N Y	G	x	x	x	Stipulated	1639.8	-1		
11-00087	Adler v. Morgan Stanley	Boca Raton	1/3/2011	10/30/2012	N	G	x			Stipulated	150	-1		
11-00105	Hennessy v. IFG/Russell Advisors	Charlotte	1/7/2011	5/21/2012	Y	G		x		Stipulated	500	-1		
11-00110	Galvan v. Banc of America	Los Angeles	1/7/2011	10/25/2011	Y	G		x		Stipulated	310.7	-1		
11-00156	Westerfield v. UBS Financial	New Orleans	1/12/2011	8/16/2012	N	G	x	x		Stipulated	0	-1		
11-00157	Duffie v. Morgan Stanley	Atlanta	1/12/2011	10/26/2012	N	G			x	Rs Win	1212	0		0%
11-00188	Kliner v. Graham	Cleveland	1/14/2011	4/5/2012	Y	D				Cs Win				
11-00190	Proeschel v. Charles Schwab	Dallas	1/10/2011	2/14/2012	N	G			x	Stipulated	53	-1		
11-00210	Travisano v. Edward D Jones	Raleigh	1/18/2011	2/8/2012	Y	D				Cs Win				
11-00216	Dawson v. Wells Fargo	PP	1/12/2011	8/5/2011	N	G		x		Rs Win	13.6	0		0%
11-00230	Lightfoot v. Pacific West	Seattle	1/14/2011	3/6/2012	Y	D				Cs Win				

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11-00237	Metropolitan Bank v. SunTrust Bank	Chicago	1/14/2011	9/4/2012	Y	G		x		Stipulated	80000	-1		
11-00259	White v. Cuna Brokerage	Philadelphia	1/18/2011	3/28/2012	BD only	D				Rs Win				
11-00260	Goldman v. R. Seelaus & Company	Newark	1/18/2011	10/16/2012	Y	G	x	x		Stipulated	500	-1		
11-00325	Brookes v. Dolan	San Francisco	1/17/2011	8/30/2012	Y	G		x	x	Stipulated	100	-1		
11-00347	Hardt v. LPL Financial	San Diego	1/24/2011	2/10/2012	BD only	D				Cs Win				
11-00349	Levy v. RBC Capital	PP	1/25/2011	8/30/2011	Y	G	x		x	Rs Win	25	0		0%
11-00374	Wawrzyniak v. Fidelity Brokerage	Chicago	1/24/2011	3/15/2012	N	G		x		Stipulated	50	-1		
11-00395	Sorochinksky v. UBS Financial	Los Angeles	1/26/2011	12/14/2012	N	G		x		Stipulated	450	-1		
11-00411	Warren v. Bovitz	Albany	1/26/2011	7/27/2012	Y	G		x	x	Stipulated	120.7	-1		
11-00428	Falk v. Citigroup Global	Los Angeles	1/25/2011	7/13/2012	N	G		x		Stipulated	413.2	-1		
11-00437	Stepper v. Sheldon	Newark	1/31/2011	1/4/2012	Y	G	x			Clm Wthdn	50	0		0%
11-00443	Scala v. UBS Financial	Boca Raton	1/25/2011	12/12/2012	N	G	x			Stipulated	611	-1		
11-00453	Antonowsky v. Chang	Los Angeles	1/21/2011	6/4/2012	Y	G	x	x	x	Stipulated	7127.6	-1		
11-00479	Schwarz v. RBC Capital	Los Angeles	2/2/2011	3/29/2012	N	G	x			Stipulated	265	-1		
11-00482	Bryan v. Wachovia Securities	Kansas City	2/2/2011	8/17/2012	N	D				Cs Win				
11-00484	Bordas v. Wells Fargo	Pittsburgh	2/1/2011	10/10/2012	Y	G			x	Cs Win	1462	97.3	BD, Bkr (G), Cmr	7%
11-00486	Smith v. Wells Fargo	Columbia	1/28/2011	6/6/2012	N	G	x			Stipulated	0	-1		
11-00489	Baer v. Financial Network	New York	2/3/2011	7/19/2012	Y	G		x		Stipulated	150	-1		
11-00494	Lewis v. Chase Investment	San Francisco	2/4/2011	5/29/2012	N	G	x			Stipulated	300	-1		
11-00508	Pascazi v. Citigroup Global	New York	2/7/2011	10/19/2012	Y	G	x		x	Clm Wthdn	0	0		
11-00517	Olson v. Associated Securities	Los Angeles	2/3/2011	8/17/2012	Y	G		x		Stipulated	297.6	-1		
11-00520	Farney v. Uinta Investments	Houston	2/3/2011	2/10/2012	Y	D				Cs Win				
11-00529	Muscara v. Morgan Stanley	Boca Raton	2/1/2011	6/11/2012	Y	G		x		Stipulated	100	-1		

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11-00535	Brown v. Morgan Stanley	Denver	2/8/2011	3/26/2012	Y	G		x	x	Stipulated	23.3	-1		
11-00567	Sisk v. JHS Capital	New York	2/15/2011	7/13/2012	Y	D				Cs Win				
11-00571	Herman v. JP Morgan	New York	2/7/2011	5/4/2012	Y	G			x	Rs Win	657.5	0		0%
11-00576	Bowman v. Berthel Fisher	Minneapolis	2/9/2011	7/6/2012	Y	G			x	Rs Win	0	0		
11-00578	Barr v. Lerner	Philadelphia	2/9/2011	2/1/2012	Y	G	x			Rs Win	237	0		0%
11-00594	Elberger v. Wells Fargo	Houston	2/5/2011	2/29/2012	Y	D				Rs Win				
11-00604	Vranas v. Citigroup Global	Chicago	2/9/2011	4/11/2012	N	G		x	x	Stipulated	12	-1		
11-00605	Schernecke v. UBS Financial	Philadelphia	2/10/2011	7/3/2012	Y	G		x		Stipulated	145	-1		
11-00611	Boyles v. Wells Fargo	Tampa	2/10/2011	10/17/2012	N	G	x	x		Rs Win	427.8	0		0%
11-00618	Rotolante v. Banc of America	Orlando	5/10/2011	11/28/2012	Y	G		x		Cs Win	1000	49	Bkr	5%
11-00620	Keiffer v. Citigroup Global	Richmond	2/9/2011	9/7/2012	N	D				Cs Win				
11-00626	Kushner v. Richardson	Portland	2/10/2011	8/30/2012	Y	D				Cs Win				
11-00632	Mengo v. Ameriprise Financial	Chicago	2/9/2011	10/3/2012	N	G	x	x		Stipulated	60	-1		
11-00646	Kankowski v. Morgan Stanley	San Diego	12/28/2010	7/6/2011	Y	D				Rs Win				
11-00647	Eischen v. Morgan Stanley	San Diego	12/28/2010	7/6/2011	Y	D				Rs Win				
11-00654	Haas v. Thompson	Las Vegas	2/10/2011	7/9/2012	Y	D				Rs Win				
11-00664	Gechter v. Morgan Stanley	Southfield	2/10/2011	12/3/2012	Y	G	x			Rs Win	38.4	0		0%
11-00670	Bolduc v. Baiocco	Orlando	2/16/2011	6/7/2012	Y	G			x	Stipulated	1000	-1		
11-00673	Deitch v. Neuberger Berman	New York	2/16/2011	10/10/2012	Y	G		x	x	Rs Win	3773	0		0%
11-00679	Takayama v. Citigroup Global	San Francisco	2/14/2011	8/20/2012	Y	G		x	x	Stipulated	27500	-1		
11-00681	Turkel v. Merrill Lynch	Newark	2/14/2011	4/26/2012	N	G	x	x		Stipulated	75	-1		
11-00699	Halley v. Wells Fargo	Oklahoma City	2/17/2011	1/11/2012	N	G	x			Stipulated	100	-1		
11-00703	Commers v. Oppenheimer & Company	Minneapolis	2/15/2011	4/30/2012	Y	D				Cs Win				
11-00709	Berman v. Empire Asset	New York	2/21/2011	8/23/2012	Y	G	x			Rs Win	550	0		0%
11-00712	Sudyka v. Fiore	Philadelphia	2/17/2011	1/20/2012	Y	G	x			Stipulated	25	-1		

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11-00717	Sleiman v. Charles Schwab	Orlando	2/18/2011	4/19/2012	Y	D				Rs Win				
11-00723	Crossman v. Kines	Boca Raton	2/17/2011	5/21/2012	Y	G			x	Stipulated	350	-1		
11-00748	Falzarano v. Ameriprise Financial	Philadelphia	2/18/2011	7/5/2012	N	G	x			Rs Win	100	0		0%
11-00754	Aborn v. Charles Schwab	Philadelphia	2/15/2011	12/4/2012	N	G			x	Stipulated	243.2	-1		
11-00758	Lopez Perez v. Citigroup Global	San Juan	2/15/2011	10/4/2012	Y	G			x	Cs Win	95.6	25	BD	26%
11-00771	Wakely v. UBS Financial	Detroit	2/17/2011	6/7/2012	Y	G	x	x		Rs Win	495	0		0%
11-00782	Winslow v. Wells Fargo	Fort Lauderdale	2/22/2011	9/19/2012	N	G			x	Stipulated	1000	-1		
11-00793	Dawson v. Citigroup Global	Fort Lauderdale	2/24/2011	4/5/2012	N	G		x		Stipulated	100	-1		
11-00800	Taylor v. Wells Fargo	San Francisco	2/23/2011	3/16/2012	N	G			x	Stipulated	1200	-1		
11-00807	Boateng v. Scottrade Incorporated	Cincinnati	2/11/2011	2/15/2012	Y	G	x	x		Clm Wthdn	50	0		0%
11-00843	Strumlauf v. UBS Financial	Atlanta	2/25/2011	7/24/2012	N	G		x		Stipulated	0	-1		
11-00862	Malaine LLC v. First Allied	New York	2/28/2011	6/6/2012	Y	G		x		Rs Win	400	0		0%
11-00867	Couturier v. Merrill Lynch	Seattle	2/25/2011	12/11/2012	Y	D				Cs Win				
11-00870	Schwarz v. LPL Financial	St. Louis	3/1/2011	3/26/2012	Y	G		x		Stipulated	600	-1		
11-00885	Richardson v. Garbutt	San Francisco	3/1/2011	7/10/2012	Y	G			x	Stipulated Award	500	-1		
11-00892	Patel v. Ameriprise Financial	Newark	2/28/2011	9/19/2012	N	G	x	x		Stipulated	100	-1		
11-00915	Seitz v. Hefren-Tillotson Incorporated	Pittsburgh	2/28/2011	6/22/2012	Y	G	x			Stipulated	200	-1		
11-00917	Du v. US Bancorp	Des Moines	3/2/2011	7/13/2012	N	D				Rs Win				
11-00939	Ash v. Lavo	San Diego	3/2/2011	9/6/2012	Y	G		x		Stipulated	250	-1		
11-00974	Funnell v. Maltese	New York	3/4/2011	3/29/2012	Y	G		x		Stipulated	90	-1		
11-00984	Stone v. Ameriprise Financial	Seattle	3/3/2011	4/17/2012	N	D				Cs Win				
11-00986	Matloob v. RBC Capital	Los Angeles	3/1/2011	12/21/2012	Y	G		x		Stipulated	1935.9	-1		
11-00993	Boritz v. Ameriprise Financial	Boca Raton	3/9/2011	4/10/2012	Y	G		x		Stipulated	38.2	-1		

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11-01000	Anthony v. Wells Fargo	Dallas	3/8/2011	2/21/2012	N	G	x			Stipulated	100	-1		
11-01006	Shalit v. Morgan Stanley	Houston	3/10/2011	4/12/2012	N	G	x	x		Stipulated	30	-1		
11-01012	Francesconi v. Gilliss	Richmond	3/7/2011	12/27/2011	Y	D				Stipulated				
11-01017	Roberts v. Woodstock Financial	Omaha	3/11/2011	6/25/2012	Y	D				Cs Win				
11-01032	Delucca-Marrero v. Almonte	San Juan	3/9/2011	3/23/2012	Y	G	x	x	x	Stipulated	225	-1		
11-01040	Vangilder v. UBS Financial	St. Louis	3/9/2011	7/5/2012	N	D				Rs Win				
11-01060	Alster v. Merrill Lynch	Boca Raton	3/15/2011	7/27/2012	N	G		x		Stipulated	0	-1		
11-01093	Mead v. Raymond James	PP	3/16/2011	9/13/2011	BD only	D				Rs Win				
11-01096	Sallerson v. UBS Financial	Washington	3/16/2011	7/31/2012	N	G			x	Stipulated	45	-1		
11-01103	Vogel v. UBS Financial	Cincinnati	3/16/2011	10/22/2012	N	G		x	x	Rs Win	106	0		0%
11-01143	Gross v. Morgan Stanley	Detroit	3/16/2011	6/28/2012	Y	G		x		Stipulated	165.2	-1		
11-01158	Abdul-Kabir v. Wells Fargo	San Francisco	3/18/2011	9/25/2012	N	G		x		Stipulated	0	-1		
11-01164	Weiss v. Nationwide Planning	Newark	3/23/2011	12/23/2011	Y	G	x	x		Stipulated	75	-1		
11-01208	Ward v. Olympia Asset	Dallas	3/23/2011	5/9/2012	Y	G	x			Rs Win	447.8	0		0%
11-01216	Rolle v. Alterna Capital	Boca Raton	3/25/2011	11/28/2012	Y	G		x		Stipulated	5000	-1		
11-01218	Olson v. Finnan	Los Angeles	3/25/2011	4/5/2012	Y	G			x	Cs Win	51.8	45	BD, Bkr	87%
11-01224	Lipp v. Citigroup Global	Los Angeles	3/25/2011	9/12/2012	N	G			x	Stipulated	198	-1		
11-01229	Yamamoto v. Legend Securities	Detroit	3/23/2011	6/27/2012	Y	D				Rs Win				
11-01235	Bloom v. Citigroup Global	New York	3/29/2011	3/30/2012	Y	D				Rs Win				
11-01251	Quintana v. Charles Schwab	Albuquerque	3/25/2011	2/28/2012	N	G			x	Stipulated	99.7	-1		
11-01261	Hall v. Ameriprise Financial	Atlanta	3/30/2011	1/30/2012	Y	D				Rs Win				
11-01283	Lenda v. Lenda	Atlanta	3/29/2011	5/1/2012	Y	G			x	Rs Win	398	0		0%
11-01308	Hirsh v. Fretz	Philadelphia	3/30/2011	3/9/2012	Y	D				Rs Win				
11-01327	Mazzone v. Wells Fargo	Newark	4/1/2011	9/24/2012	N	G		x		Stipulated	500	-1		

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11-01339	Bogolin v. E*Trade Securities	Atlanta	3/31/2011	12/15/2011	N	G			x	Stipulated	200	-1		
11-01363	Malco Real Estate v. UBS Financial	New York	4/5/2011	10/2/2012	N	G		x	x	Stipulated	100	-1		
11-01417	LaValley v. Lincoln Financial	Syracuse	4/6/2011	1/4/2012	Y	D				Rs Win				
11-01421	Rosen v. Citigroup Global	Denver	4/4/2011	6/15/2012	N	G	x	x	x	Rs Win	4617.1	0		0%
11-01425	Taggart v. TD Ameritrade	Seattle	4/4/2011	6/7/2012	N	D				Cs Win				
11-01469	Sheka v. Ameriprise Financial	Houston	4/7/2011	9/7/2012	N	G			x	Stipulated	50	-1		
11-01488	Davis v. WFP Securities	Los Angeles	4/7/2011	11/6/2012	Y	G	x	x	x	Stipulated	164.9	-1		
11-01493	Swayze v. Huntington Investment	Columbus	4/10/2011	4/16/2012	Y	G			x	Cs Win	122.2	2.3	BD	2%
11-01506	Ross v. Credit Suisse	Boca Raton	4/11/2011	11/21/2012	Y	G	x	x		Clm Wthdn	10500	0		0%
11-01507	Gragierena v. Banc of America	Los Angeles	4/12/2011	11/19/2012	Y	G	x		x	Stipulated	9460.1	-1		
11-01510	Calderaio v. Misener	Philadelphia	4/12/2011	2/17/2012	Y	G	x	x		Rs Win	99.4	0		0%
11-01511	Kennedy v. Wells Fargo	New York	4/12/2011	6/25/2012	N	D				Rs Win				
11-01513	Viola v. Morgan Stanley	Hartford	4/12/2011	11/19/2012	N	D				Stipulated				
11-01514	Skidmore v. JP Morgan	Newark	4/12/2011	8/21/2012	N	G	x			Rs Win	400	0		0%
11-01530	Tran v. Chase Investment	Houston	4/7/2011	1/11/2012	Y	G		x		Stipulated	46	-1		
11-01537	Grace v. Higgins	Los Angeles	4/14/2011	7/2/2012	Y	G		x		Rs Win	44.7	0		0%
11-01549	LaPosta v. Chase Investment	Charleston	4/13/2011	10/19/2012	N	G			x	Stipulated	100	-1		
11-01561	Hobart v. Charles Schwab	Atlanta	4/15/2011	8/6/2012	N	G			x	Stipulated	55	-1		
11-01582	Edwards v. R.W. Towt	Los Angeles	4/11/2011	8/6/2012	Y	D				Cs Win				
11-01606	Detraz v. Banc One	New Orleans	4/21/2011	6/22/2012	N	G	x			Rs Win	200	0		0%
11-01607	Hollub v. FMSbonds Incorporated	Miami	4/21/2011	6/11/2012	BD only	D				Rs Win				
11-01650	Shull v. Ameriprise Financial	PP	4/19/2011	10/21/2011	N	D				Rs Win				
11-01653	Brumfield v. Capital City	Columbus	4/26/2011	10/17/2012	Y	G			x	Rs Win	1500.9	0		0%

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11-01674	Steinberg v. Citigroup Global	Boca Raton	4/26/2011	7/30/2012	N	G			x	Stipulated	100	-1		
11-01676	Brown v. Bayat	Los Angeles	4/20/2011	4/11/2012	Y	G		x	x	Rs Win	497.5	0		0%
11-01683	Cornwell v. Hantz Financial	Southfield	4/21/2011	4/25/2012	Y	D				Rs Win				
11-01699	Fusco v. Ameriprise Financial	Houston	4/28/2011	4/4/2012	Y	G		x		Rs Win	300	0	Cmr	0%
11-01701	Lazarus v. UBS Financial	New York	4/28/2011	8/15/2012	N Y	G		x	x	Rs Win	142.9	0		0%
11-01712	Neuss v. Evans	Los Angeles	3/15/2010	8/23/2011	Y	G	x			Rs Win	2108	0		0%
11-01784	Park v. Haggard	Atlanta	4/27/2011	9/11/2012	Y	G	x		x	Rs Win	1653.4	0		0%
11-01800	Lusk v. Citigroup Global	Jackson	5/3/2011	11/9/2012	Y	G		x		Rs Win	859.3	0		0%
11-01815	Siegel v. Wells Fargo	Indianapolis	5/5/2011	9/12/2012	N	D				Cs Win				
11-01822	Fogle v. Edward D Jones	Louisville	5/1/2011	3/1/2012	Y	G	x			Rs Win	50	0		0%
11-01825	Paradiso v. Delaney Equity	Fort Lauderdale	5/8/2011	5/25/2012	Y	G	x	x		Rs Win	163	0		0%
11-01830	Reppucci v. Wells Fargo	Boston	5/5/2011	2/27/2012	N	D				Cs Win				
11-01872	Istas v. UBS Financial	Minneapolis	5/10/2011	12/13/2012	N	G			x	Stipulated	150	-1		
11-01901	Weiss v. Fidelity Brokerage	Fort Lauderdale	5/9/2011	11/30/2012	N	G		x		Stipulated	165	-1		
11-01904	Samii v. Merrill Lynch	Fort Lauderdale	5/11/2011	12/17/2012	N	G			x	Stipulated	100	-1		
11-01906	Shaheen v. Morgan Stanley	San Francisco	5/4/2011	7/20/2012	Y	G		x		Rs Win	-1	0		
11-01909	DRG Hendersonville v. Behrends	Los Angeles	5/11/2011	5/25/2012	Y	G			x	Cs Win	1000	338	BD, Bkr, Cmr	34%
11-01927	Degnars v. Fidelity Brokerage	Wilmington	5/13/2011	7/5/2012	N	G			x	Stipulated	350	-1		
11-01943	Otto v. MML Investors	New York	5/16/2011	11/20/2012	Y	G		x		Stipulated	571	-1		
11-01945	Ross v. Wells Fargo	Jacksonville	5/16/2011	4/25/2012	N	G			x	Stipulated	5000	-1		
11-01948	Billings v. Merrill Lynch	Fort Lauderdale	5/13/2011	10/16/2012	N	G			x	Cs Win	1336.5	1336.5	BD	100%
11-01972	Loomis v. Merrill Lynch	Houston	5/14/2011	5/29/2012	N	G	x	x		Stipulated	300	-1		
11-01987	Wood v. Financial Network	San Juan	5/17/2011	12/20/2012	N	G	x			Stipulated	100	-1		
11-02009	Lunceford v. Morgan Stanley	Atlanta	5/18/2011	10/22/2012	Y	G		x		Stipulated	487.8	-1		
11-02012	Ward v. UBS Financial	Buffalo	5/19/2011	7/30/2012	N	G		x		Stipulated	100	-1		

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11-02032	Burgos-Fernandez v. Popular Securities	San Juan	5/17/2011	8/10/2012	N	D				Cs Win				
11-02048	Jones v. Ameriprise Financial	Atlanta	5/23/2011	7/18/2012	N	G		x		Stipulated	40.4	-1		
11-02065	Brown v. Ha	PP	5/24/2011	9/4/2012	Y	G	x	x	x	Rs Win	19.1	0		0%
11-02073	Stein v. Wells Fargo	Orlando	5/18/2011	8/10/2012	N	G	x			Stipulated	450	-1		
11-02080	Hall v. Wells Fargo	Detroit	5/24/2011	7/25/2012	Y	G		x		Rs Win	370	0		0%
11-02100	Martinsen v. E*Trade Securities	New York	5/25/2011	12/30/2011	N	G	x			Stipulated	650	-1		
11-02113	Johnston v. Edward D Jones	Southfield	5/24/2011	8/30/2012	Y	G	x	x		Stipulated	30	-1		
11-02126	Daurio v. Doidge	Denver	5/26/2011	11/14/2012	Y	D				Cs Win				
11-02181	Mazer v. Collins	Boston	5/31/2011	10/11/2012	Y	G	x	x		Rs Win	0	0		
11-02196	Hill v. Citigroup Global	New York	6/2/2011	9/5/2012	N	D				Cs Win				
11-02233	Zuckerbrod v. Kaufman	Boca Raton	6/3/2011	11/5/2012	Y	G	x			Rs Win	360.8	0		0%
11-02238	Maguire v. UBS Financial	Orlando	6/3/2011	6/8/2012	N	G			x	Stipulated	100	-1		
11-02239	Jurena v. Merrill Lynch	Atlanta	6/3/2011	12/4/2012	N	G	x			Stipulated	1000	-1		
11-02248	Campbell v. Mar	Chicago	5/27/2011	12/12/2012	Y	D				Cs Win				
11-02298	Elias v. Charles Schwab	Birmingham	6/9/2011	9/7/2012	N	G			x	Stipulated	48.7	-1		
11-02312	Thomas v. Swegles	PP	6/6/2011	11/15/2011	Y	D				Cs Win				
11-02319	Irizarry Alcaraz v. UBS Financial	San Juan	6/9/2011	8/17/2012	N	G	x	x	x	Stipulated	230	-1		
11-02361	Kerian v. E*Trade Securities	Newark	6/13/2011	2/3/2012	N	G			x	Stipulated	280	-1		
11-02366	McKenney v. Morgan Stanley	Raleigh	6/8/2011	4/27/2012	N	G	x			Rs Win	231	0		0%
11-02393	Dowe v. Morgan Keegan	Syracuse	6/13/2011	11/13/2012	N	D				Cs Win				
11-02405	Schwedock v. UBS Financial	New York	6/10/2011	8/23/2012	N	G	x	x		Rs Win	91	0		0%
11-02423	Symonds v. Morgan Stanley	Orlando	6/19/2011	6/22/2012	N	D				Rs Win				
11-02431	Welch v. Alpers	Salt Lake City	6/15/2011	12/20/2012	Y	G		x		Stipulated	396.7	-1		
11-02453	Abel v. RBC Capital	PP	6/14/2011	1/17/2012	N	D				Rs Win				
11-02496	Salter v. UBS Financial	PP	6/23/2011	1/9/2012	N	G		x		Rs Win	10	0		0%

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11-02505	Roberts v. Fidelity Brokerage	Los Angeles	6/21/2011	5/24/2012	N	G	x	x		Stipulated	209.8	-1		
11-02506	Stone v. Brandt	San Francisco	6/21/2011	3/19/2012	Y	G	x	x	x	Stipulated	38.8	-1		
11-02535	Hussey v. TD Ameritrade	Nashville	6/27/2011	8/27/2012	Y	G			x	Rs Win	160	0		0%
11-02536	Rudnick v. Glassman	Boca Raton	6/27/2011	11/20/2012	Y	G	x	x		Stipulated	0	-1		
11-02548	Allen v. Johnson	Richmond	6/28/2011	9/27/2012	N Y	G		x	x	Stipulated	0	-1		
11-02554	Babcock v. UBS Financial	Atlanta	6/23/2011	11/8/2012	N	G	x			Stipulated	100	-1		
11-02566	Khodyayari v. UBS Financial	Los Angeles	6/29/2011	12/21/2012	N	G			x	Stipulated	320	-1		
11-02568	Shine v. Briggs	San Francisco	6/23/2011	8/28/2012	Y	G		x		Stipulated	317.4	-1		
11-02600	Paquette v. LPL Financial	Hartford	6/28/2011	1/5/2012	N	G	x	x	x	Stipulated	62.2	-1		
11-02603	Collado v. Deutsche Bank	Boca Raton	6/29/2011	10/19/2012	Y	G	x	x		Rs Win	40	0		0%
11-02646	Patchen v. Northwestern Mutual	Cleveland	7/7/2011	8/16/2012	Y	G			x	Rs Win	136.3	0		0%
11-02669	Sirotkin v. Lillehei	Boca Raton	6/30/2011	10/11/2012	Y	G		x		Stipulated	500	-1		
11-02687	Potter v. UBS Financial	Boston	7/8/2011	8/22/2012	N	D				Cs Win				
11-02695	Lenio v. Morgan Stanley	Orlando	7/5/2011	7/20/2012	N	G		x		Stipulated	50	-1		
11-02704	Helaire v. Hibernia Investment	New Orleans	7/7/2011	10/16/2012	Y	D				Rs Win				
11-02710	Storniolo v. RBC Dain Rauscher	Newark	7/11/2011	12/17/2012	Y	G		x		Stipulated	4100	-1		
11-02713	Puskadi v. Merrill Lynch	Fort Lauderdale	7/5/2011	9/28/2012	N	G	x			Stipulated	100	-1		
11-02740	Lombardo v. UBS Financial	Cincinnati	7/12/2011	11/1/2012	N	G		x		Stipulated	100	-1		
11-02745	Potter v. Ameritas Investment	Orlando	7/4/2011	5/17/2012	Y	D				Rs Win				
11-02758	Vollmer v. Copley	Charlotte	7/15/2011	11/2/2012	Y	G	x	x	x	Rs Win	49	0		0%
11-02768	Shipman v. Wells Fargo	PP	7/12/2011	3/29/2012	N	G		x		Rs Win	24	0		0%
11-02771	Ryan v. AXA Advisors	Albany	7/11/2011	12/5/2012	Y	D				Rs Win				
11-02789	Merryman v. Charles Schwab	PP	7/19/2011	3/26/2012	Y	G			x	Cs Win	10.4	10.4	BD	100%
11-02791	Nimphie v. Raymond James	Boca Raton	7/18/2011	8/9/2012	N	G		x		Rs Win	3800	0		0%
11-02825	Muell v. Wayne Hummer	Chicago	7/18/2011	12/24/2012	N	G	x	x		Stipulated	60	-1		
11-02854	Irwin v. Fulton	Boca Raton	7/21/2011	6/28/2012	Y	D				Rs Win				
11-02864	Orr v. Wells Fargo	Houston	7/21/2011	10/2/2012	Y	G		x	x	Stipulated	360	-1		

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11-02874	Berry v. Royal Alliance	Los Angeles	7/21/2011	12/17/2012	N	D				Stipulated				
11-02911	Haas v. Citigroup Global	Philadelphia	7/25/2011	8/1/2012	N	D				Rs Win				
11-02923	Alena v. Morgan Stanley	Seattle	7/26/2011	8/2/2012	Y	D				Rs Win				
11-02927	Paul v. Wachovia Securities	St. Louis	7/21/2011	3/23/2012	Y	G		x		Stipulated	25	-1		
11-02933	Kontos v. Citicorp Investment	Boca Raton	7/21/2011	12/27/2012	Y	G	x	x	x	Rs Win	200	0		0%
11-02944	Reber v. Capital Growth	Las Vegas	7/25/2011	8/24/2012	Y	G			x	Rs Win	686.1	0		0%
11-02945	Prudhomme v. E*Trade Securities	Chicago	7/28/2011	7/26/2012	Y	D				Cs Win				
11-02949	North v. Flynn	PP	7/27/2011	6/8/2012	Y	G		x		Rs Win	13.8	0		0%
11-02971	Baratko v. Banc of America	Newark	7/25/2011	12/11/2012	N	G	x		x	Stipulated	990	-1		
11-02972	Simonian v. Lunghino	Buffalo	7/29/2011	8/8/2012	Y	G		x		Stipulated	28	7.5		27%
11-02992	Glatz v. Money Concepts	Chicago	7/28/2011	12/6/2012	Y	G	x			Stipulated	760	-1		
11-03008	Winston v. Geller	Los Angeles	7/30/2011	9/20/2012	Y	G		x		Stipulated	150	-1		
11-03064	Stallard v. Childs	Las Vegas	8/2/2011	6/28/2012	Y	G			x	Rs Win	98.7	0		0%
11-03066	Hazelrigg v. Morgan Stanley	Los Angeles	8/3/2011	11/30/2012	Y	G		x		Stipulated	0	-1		
11-03099	Edwards v. Christensen	San Francisco	8/1/2011	3/30/2012	Y	G	x		x	Stipulated	50	-1		
11-03166	Sacks v. Clancy	Miami	8/9/2011	9/25/2012	Y	G	x	x		Stipulated	450	-1		
11-03167	Debow v. Imbertson	Boca Raton	8/12/2011	12/14/2012	Y	G		x		Stipulated	499	-1		
11-03184	Adelman v. First Allied	PP	8/10/2011	4/27/2012	Y	D				Cs Win				
11-03192	de Mello Cabral v. Hoida	Miami	8/15/2011	4/20/2012	Y	G	x		x	Clm Wthdn	250	0		0%
11-03226	Culbertson v. J.J.B. Hilliard	Columbus	8/18/2011	11/30/2012	N	D				Cs Win				
11-03230	Flynn v. Ameriprise Financial	Southfield	8/14/2011	11/21/2012	Y	D				Cs Win				
11-03290	Jones v. Baker	Atlanta	8/25/2011	8/24/2012	Y	G	x	x		Stipulated	312	-1		
11-03296	Heaton v. Ameriprise Financial	Helena	8/25/2011	8/10/2012	Y	D				Rs Win				
11-03325	Fritsch-Gil v. Janney Montgomery	Newark	8/24/2011	9/14/2012	N	G	x	x		Stipulated	50	-1		
11-03363	Hockersmith v. Ledyard	Phoenix	8/31/2011	11/13/2012	Y	G			x	Stipulated	47.3	-1		

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11-03428	Borohov v. Chase Investment	PP	9/2/2012	8/27/2012	N	G	x	x		Stipulated	25	-1		
11-03440	Nichols v. NFI Advisors	PP	9/7/2011	8/2/2012	Y	G		x		Stipulated	13.7	-1		
11-03478	Berg v. Charles Schwab	PP	9/11/2011	8/9/2012	N Y	G			x	Stipulated	12.4	-1		
11-03503	Forrest v. Raymond James	Bradenton	9/12/2011	8/21/2012	Y	D				Cs Win				
11-03504	Reyes v. UBS Financial	San Juan	9/12/2011	12/21/2012	N	G	x			Stipulated	0	-1		
11-03507	Stiles v. Merrill Lynch	Boca Raton	9/6/2011	12/21/2012	N	G	x	x		Stipulated	1000	-1		
11-03517	Ohrenberger v. Wells Fargo	Boston	9/9/2011	11/5/2012	Y	D				Rs Win				
11-03590	Elshire v. Glenn	Los Angeles	9/16/2011	12/18/2012	Y	G	x	x		Stipulated	145	-1		
11-03596	Shimon v. Rumbaugh	PP	9/19/2011	4/25/2012	Y	D				Cs Win				
11-03599	Lonardo v. Fischer	PP	9/14/2011	5/24/2012	Y	D				Rs Win				
11-03711	Crouch v. Morgan Stanley	PP	9/21/2011	6/28/2012	N	G		x		Rs Win	25	0		0%
11-03727	Kreis v. Morgan Stanley	Tampa	9/23/2011	11/1/2012	N	G	x			Rs Win	43.8	0		0%
11-03751	Fishbein v. Charles Schwab	Columbus	9/27/2011	7/10/2012	N	G		x		Stipulated	30	-1		
11-03756	Sutherland v. Huntington Investment	Cincinnati	9/24/2011	9/10/2012	N	G	x			Clm Wthdn	283	0		0%
11-03801	Ward v. CM Securities	Las Vegas	9/29/2011	12/27/2012	Y	D				Cs Win				
11-03818	Beard v. Janney Montgomery	Pittsburgh	9/30/2011	11/20/2012	Y	G			x	Stipulated	181.9	-1		
11-03838	Levine v. Brunetti	New York	10/4/2011	5/31/2012	Y	G	x		x	Stipulated	32.8	-1		
11-03930	Lerner v. Westpark Capital	PP	10/11/2011	7/13/2012	Y	G	x	x	x	Stipulated	10	-1		
11-03966	York v. Morgan Stanley	San Diego	10/3/2011	10/4/2012	N	G		x	x	Stipulated	380	-1		
11-03974	Bethel A.M.E Church v. Merrill Lynch	Baltimore	10/18/2011	9/25/2012	Y	G		x		Stipulated	330	-1		
11-03986	Brown v. UBS Financial	Hartford	10/19/2011	9/6/2012	Y	G		x		Rs Win	628.5	0		0%
11-03990	Johnson v. Northwestern Mutual	Orlando	9/14/2011	12/11/2012	Y	G	x	x		Stipulated	200	-1		
11-04008	Greystone Park v. Maloney	Boca Raton	11/6/2009	12/9/2011	Y	G			x	Stipulated	25000	-1		
11-04015	Buoneto v. Smith	PP	10/19/2011	4/27/2012	Y	D				Rs Win				

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11-04023	Zervos v. Merrill Lynch	Columbia	10/18/2011	12/21/2012	N	G	x			Stipulated	78.2	-1		
11-04029	Mahoney v. Brancato	PP	10/24/2011	5/15/2012	Y	G		x		Rs Win	9.5	0		0%
11-04059	Campanaro v. Citigroup Global	Los Angeles	10/22/2011	12/7/2012	N	D				Cs Win				
11-04068	Laborio v. Barclays Capital	Boca Raton	10/24/2011	11/29/2012	Y	G	x	x		Stipulated	35000	-1		
11-04106	Finkelstein v. Eilenberg	PP	10/28/2011	10/19/2012	Y	G	x	x		Rs Win	24.5	0		0%
11-04204	BLT Enterprises v. Merrill Lynch	Atltanta	11/7/2011	12/11/2012	Y	G			x	Cs Win	492.5	60	BD, Bkr (G)	12%
11-04213	Buhrman v. Wells Fargo	Boca Raton	11/4/2011	12/10/2012	N	G	x	x		Stipulated	293.7	-1		
11-04268	Fogler v. Wells Fargo	PP	11/9/2011	6/11/2012	N	G			x	Rs Win	7.5	0		0%
11-04281	Thayer v. Morgan Stanley	San Diego	11/10/2011	8/28/2012	N	D				Cs Win				
11-04358	Lines v. Coffey	PP	11/17/2011	7/6/2012	Y	G		x		Rs Win	15.2	0		0%
11-04375	Jensen v. Ausdal Financial	Chicago	11/18/2011	12/3/2012	Y	G		x		Stipulated	105	-1		
11-04377	Myers v. Wells Fargo	PP	11/16/2011	8/27/2012	Y	D				Rs Win				
11-04397	Vescio v. Cavey	Omaha	11/23/2011	11/20/2012	Y	D				Rs Win				
11-04409	Bachman Trust v. Morgan Stanley	PP	11/28/2011	9/7/2012	Y	G			x	Cs Win	10	10	BD	100%
11-04498	Lacare v. Edward D Jones	Cleveland	11/28/2011	11/29/2012	Y	G	x			Stipulated	100	-1		
11-04503	Krieger v. Materetsky	PP	11/30/2011	8/8/2012	Y	G	x			Clm Wthdn	17	0		0%
11-04512	Halleran v. Williams	San Francisco	12/2/2011	11/30/2012	Y	G		x	x	Rs Win	48.3	0		0%
11-04587	Rotman v. Rockwell Global	PP	12/8/2011	9/7/2012	Y	D				Cs Win				
11-04596	Tutko v. Britton	Seattle	12/5/2011	12/20/2012	Y	G	x	x		Stipulated	0	-1		
11-04729	Holtzman v. Merrill Lynch	Newark	12/16/2011	12/10/2012	N	G	x	x		Stipulated	100	-1		
11-04772	Maloney v. Johnson	Philadelphia	12/22/2011	8/14/2012	Y	G	x	x		Stipulated	11.5	-1		
11-04797	McKay v. Wells Fargo	PP	12/21/2011	10/16/2012	Y	D				Cs Win				