

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06978

Ian Rogers, claimant vs. Laurie Rechholtz, respondent.

ATTORNEYS:

For Claimant appeared Curt Roy Hinline, Esq., of the firm Dorsey & Whitney, LLP, Seattle, WA.

Respondent appeared pro se, Seattle, WA.

DATE FILED: November 19, 2002

CASE SUMMARY: Claimant requested expungement of a customer complaint from his CRD record.

Claim Data

Claim: Expungement

Award Data

Award: Denied

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) Claimant's request for expungement from his Central Registration Depository Record ("CRD") is denied. 3) The \$1,250.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Merrill Lynch, Pierce, Fenner & Smith Inc. has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

Page Two
Award 02-06978

Jason T. Dennett, J.D.

-
Sole Public Arbitrator

AFFIRMATION

I, Jason T. Dennett, J.D., do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.


Jason T. Dennett, J.D.

5/5/2003
Signature Date

May 13, 2003
Date of Service (For NASD-DR office use only)