

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-00257

Suzanne E. Rocheleau, Claimant vs. CIBC World Markets Corporation, Respondent.

ATTORNEYS:

Claimant appeared pro se, New York, NY.

For Respondent appeared in-house counsel, Michelle Murphy, Esq., New York, NY.

DATE FILED: January 13, 2003

CASE SUMMARY: Claimant alleged that Respondent entered inaccurate reasons for her termination on her Form U-5, and requested the expungement of the libelous and defamatory language from her Form U-5.

Claim Data

Award Data

Claim: Expungement of language "unsatisfactory performance" from her Form U-5

Award: Granted

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 to expunge her CRD record is granted. 2) The arbitrator recommends the expungement of that portion of Section 13 (formerly Section 12) of Claimant's U-5, which states the reason for termination as "Unsatisfactory Performance", based on the defamatory nature of the information, and be immediately replaced to read "Mutual Agreement". 4) The \$250.00 filing fee and \$1,000.00 hearing session deposit were previously waived by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, CIBC World Markets Corporation, has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

Barry Quint

Sole Non-Public Arbitrator

AFFIRMATION

I, Barry Quint, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.

Barry Quint
Barry Quint

8-28-03
Signature Date

September 4, 2003
Date of Service (For NASD-DR office use only)