

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 03-00422

Joseph R. Barberio, Claimant vs. Michael McCormick and H&R Block Financial Advisors, Inc. Respondents.

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**ATTORNEYS:**

Claimant, Joseph R. Barberio, ("Claimant") appeared pro se., Huntington Station, NY.

Respondents, Michael McCormick and H&R Block Financial Advisors, Inc., (collectively "Respondents") appeared through their in-house counsel, Howard M. Klausmeier, Esq., Detroit, MI.

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DATE FILED: January 17, 2003

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**CASE SUMMARY:** Claimant alleged that Respondents submitted false language on his U-5 Form. Claimant requested expungement of such language on his U-5 Form.

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**Claim Data**

Claim: Expungement  
Claim: \$50.00

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**Award Data**

Award: Denied  
Claim: \$.00

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**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) All other relief requests are denied. 3) The \$50.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 4) Claimant's request for expungement from his Central Registration Depository ("CRD") record is denied.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent, H&R Block Financial Advisors, Inc. has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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Award 03-00422

Michael G. Shannon

Sole Non-Public Arbitrator

**AFFIRMATION**

I, Michael G. Shannon, Esq., 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.

Michael G. Shannon  
Michael G. Shannon, Esq.

6/12/03  
Signature Date

June 18, 2003  
Date of Service (For NASD-DR office use only)