

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01222

Robert Guerin and Albert Markman Peters, Claimants vs. Julio O. Ramirez, Respondent.

ATTORNEYS:

For Claimants, Robert Guerin and Albert Markman Peters, (collectively "Claimants") appeared Brian D. Donnelly of the Law Offices of Bressler, Amery & Ross, P.C. New York, NY.

Respondent, Julio O. Ramirez, ("Respondent") did not submit a response to the Statement of Claim.

DATE FILED: February 19, 2003

CASE SUMMARY: Claimants alleged that recommendations for expungement in a Stipulated Award in NASD-DR Arbitration Case 01-02303 were not met due to closure of the case. Claimants have requested the expungement of any reference to Arbitration proceedings in Arbitration Case 01-02303 from their CRD records.

Claim Data

Claim: Expungement of any reference to
Arbitration proceeding NASD-DR
Case No. 01-02303 from CRD Number
2777675 and CRD Number 713854.
Other: Unspecified

Award Data

Award: Granted

Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Claimants' claims to expunge their CRD records are granted. 2) The arbitrator recommends the expungement of all reference to NASD-DR Case No. 01-02303 from Claimant Robert Guerin's registration records maintained by the NASD Central Registration Depository ("CRD") with the understanding that pursuant to NASD Notice to Members 99-09, Claimant, Robert Guerin, must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 3) The arbitrator recommends the expungement of all reference to NASD-DR Case No. 01-02303 from Claimant Albert Markman Peters' registration records maintained by the NASD Central Registration Depository ("CRD") with the understanding that pursuant to NASD Notice to Members 99-09, Claimant, Albert Markman Peters, must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 4) All other relief requests are denied. 5) The \$1,250.00 filing fee previously deposited with NASD Dispute Resolution by the Claimants, shall be retained by NASD Dispute Resolution.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Pershing / Div. of DLJ Securities Corp. has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

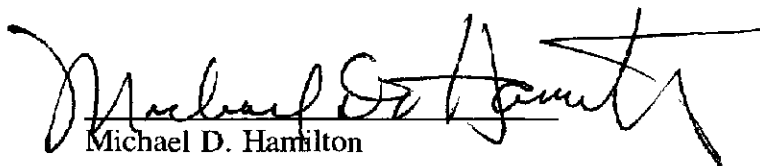
OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent, Julio O. Ramirez was served notice of the Statement of Claim and Notification of Arbitrator by regular Mail and Overdue Notice by certified mail, as evidenced by the signed signature card on file, and is therefore bound by the arbitrator's ruling and determination.

Michael D. Hamilton

Sole Public Arbitrator

AFFIRMATION

I, Michael D. Hamilton, 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.


Michael D. Hamilton

8-24-03
Signature Date

September 9, 2003
Date of Service (For NASD-DR office use only)