

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

CASE: 03-01844

Lee R. Frank, Claimant vs. Whitehall Wellington Investments, Inc., Respondents.

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**ATTORNEYS:**

Claimant, Lee R. Frank, ("Claimant") appeared pro se., Tamarac, FL.

For Respondent, Whitehall Wellington Investments, Inc., ("Respondent") appeared its President, Stuart Weinberg, Port Washington, NY.

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DATE FILED: March 14, 2003

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CASE SUMMARY: Claimant alleged that Respondent placed erroneous comments on his U-5 form. Claimant maintained that such comments could affect his future employment.

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**Claim Data**

Claim: \$50.00  
Claim: Expungement  
Filing Fees: \$50.00

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**Award Data**

Award: \$.00  
Award: Granted  
Filing Fees: \$.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 monetary claims of claimant are dismissed in their entirety. 2) The arbitrator recommends the expungement of the reason for termination on Lee Frank's U-5 based on the defamatory nature of the information. The new reason for termination is immediately changed to "VOLUNTARY". 3) All other relief requests are denied. 4) The \$50.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

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OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Whitehall Wellington Investments, Inc., has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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Page Two  
Award 03-01844

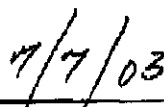
David A. Harris

Sole Non-Public Arbitrator

**AFFIRMATION**

I, David A. Harris, 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.

  
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David A. Harris

  
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Signature Date

July 10, 2003  
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Date of Service (For NASD-DR office use only)