

**NASD DISPUTE RESOLUTION AWARD**

**NASD DISPUTE RESOLUTION**

CASE: 04-00510

Merrill Lynch, Pierce, Fenner & Smith, Inc. and Adam D. Uhlan, Claimants v. Merle A. Wood, III, Respondent.

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**ATTORNEYS:**

For Claimants, Merrill Lynch, Pierce, Fenner & Smith, Inc. and Adam D. Uhlan, ("Claimants"), appeared Jason S. Haselkorn, Esq., of the firm Boose Casey Ciklin Lubitz Martens McBane & O'Connell, West Palm Beach, FL.

For Respondent, Merle A. Wood, III, ("Respondent"), appeared Michael A. Pfundstein, Esq., of the firm Tripp Scott, P.A., Fort Lauderdale, FL.

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**NATURE OF DISPUTE:** Member and Associated Person v. Customer

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**DATE FILED:** January 26, 2004

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**CASE SUMMARY:** Claimants request the expungement from Claimant Adam D. Uhlan's record maintained by the NASD Central Registration Depository ("CRD"), of all reference to NASD Dispute Resolution Arbitration Case No. 01-04703, entitled Merle A. Wood, III v. Merrill Lynch, Pierce, Fenner & Smith and Adam D. Uhlan, because the parties settled the case via mediation on November 12, 2003.

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**Claim Data**

Expungement Requested  
Filing Fees: \$.00  
Other: Unspecified

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**Award Data**

Award: Granted  
Filing Fees: \$.00  
Other: \$.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 arbitrator recommends the expungement of all reference to NASD Dispute Resolution Arbitration Case No. 01-04703 entitled Merle A. Wood, III v. Merrill Lynch, Pierce, Fenner & Smith, Inc. and Adam D. Uhlan, from Claimant Adam D. Uhlan's registration record maintained by the NASD Central Registration Depository, with the understanding that pursuant to NASD Notice to Members 99-09, Claimant Adam D. Uhlan must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) NASD Dispute Resolution shall retain the \$1,500.00 filing fee that the Claimant deposited previously.

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

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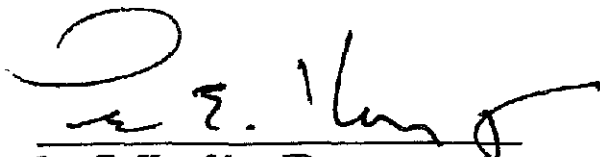
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**ARBITRATOR**

Lee E. Karofsky, JD - Sole Public Arbitrator

**AFFIRMATION**

I, Lee E. Karofsky, JD, 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.

  
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Lee E. Karofsky, JD

7/29/04  
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Signature Date

August 6, 2004  
\_\_\_\_\_  
Date of Service (For NASD-DR office use only)