

Stipulated Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Ida Epstein vs. Stephen Goodwin

Case Number: 04-02666

REPRESENTATION OF PARTIES

Claimant, Ida Epstein ("Claimant") appeared through Matthew Tracy, Esq., of the firm Winget, Spadafora & Schwartzberg, LLP, New York, NY.

Respondent, Stephen Goodwin ("Respondent") appeared *pro se*, Jupiter, FL

CASE INFORMATION

Statement of Claim filed on or about: April 12, 2004.

Nature of Dispute: Associated Person vs. Customer

CASE SUMMARY

In their Statement of Claim, Claimants seek an order to expunge NASD Case No. 02-03491 from the NASD Central Registration Depository ("CRD") records of Ms. Epstein.

RELIEF REQUESTED

Claimants seek an order to expunge NASD Case No. 02-03491 from the NASD Central Registration Depository ("CRD") records of Ms. Epstein.

Respondent did not object to the relief requested by Claimants.

OTHER ISSUES CONSIDERED AND DECIDED

Respondent Marilyn Pfeiffer did not file with the NASD Dispute Resolution properly executed submission agreement but are required to submit to arbitration pursuant to the NASD Code of Arbitration Procedure (the "Code") and is bound by the determination of the Arbitrator on all issues submitted.

The parties agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

The parties entered into and agreement to present to the Arbitrator a Stipulated Award. Now, in lieu of a hearing and upon motion of both parties for entry of an award, the written stipulation thereto the arbitrator grants the motion and enters this award granting the following relief.

1) The Arbitrator recommends the expungement of all reference to NASD Case No. 02-03491 from Claimant Ida Epstein's registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 99-09 and 99-54, Claimant Ida Epstein must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) All other relief requests are denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution shall retain or collect the \$1,250.00 filing fees that the Claimant deposited previously.

Member Fees

Pursuant to Rule 10333 of the Code, ING Financial Partners, Inc. has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge Previously invoiced.

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Parties' Signatures



Matthew Tracy, Esq.
Attorney for Claimant
Ida Epstein

11/30/04

Signature Date



Stephen Goodwin
pro se Respondent

12/7/04

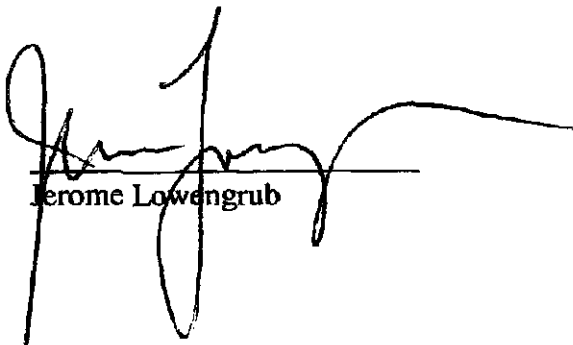
Signature Date

ARBITRATOR

Jerome Lowengrub – Sole Public Arbitrator

AFFIRMATION

I, Jerome Lowengrub, 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.


Jerome Lowengrub

11/23/04
Signature Date

December 15, 2004
Date of Service (For NASD office use only)