

NASD DISPUTE RESOLUTION STIPULATED AWARD
NASD DISPUTE RESOLUTION

CASE: 04-02674

Mark Phillip Goetz, (Claimant) vs. Pauline Maitoglou, (Respondent)

ATTORNEYS:

For Claimant appeared Scott Wassmuth, Esq., of the firm Finkelstein & Feil, LLP, Garden City, NY.

Respondent appeared *pro se*, Sayerville, NJ.

NATURE OF DISPUTE: Associated Person vs. Customer

DATE FILED: April 8, 2004

CASE SUMMARY: Claimant requested expungement of all reference of a former NASD customer complaint filed in 2002. Claimant maintained that since he was not found liable for anything, expungement should be granted. Respondent does not object to the relief requested by Claimant.

Claim Data

Award Data

Claim: Expungement

Award: Granted

AWARD: The parties entered into an agreement to present the Panel with 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 Panel grants the motion and enters this award granting the following relief: 1) The Panel recommends the expungement of all reference to NASD Arbitration Case Number 02-05290 from Claimant Mark Phillip Goetz'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 Mark Phillip Goetz must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$1,250.00 filing fee that the Claimant deposited previously.

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Award 04-02674

Richard Slavin, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard Slavin, 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.



Richard Slavin, Esq.

2/27/06

(Signature Date)

March 3, 2006
Date of Service (For NASD-DR office use only)