

NASD DISPUTE RESOLUTION STIPULATED AWARD
NASD DISPUTE RESOLUTION

CASE: 04-02680

Mark Phillip Goetz, Claimant v. Edward Morawiec, Maria Morawiec, Joanna Morawiec, and Donna Morawiec Respondents.

ATTORNEYS:

For Claimant, Mark Phillip Goetz, ("Claimant"), appeared Timothy Feil, Esq., of the firm Finkelstein & Feil LLP, Garden City, New York.

For Respondents, Edward Morawiec, Maria Morawiec, Joanna Morawiec and Donna Morawiec (collectively "Respondents") appeared Michael P. Gilmore, Esq., of the firm Sims, Moss, Kleine & Davis, LLP., Mineola, NY.

NATURE OF DISPUTE: Associated Person v. Customers

DATE FILED: April 8, 2004.

CASE SUMMARY: Claimant is requesting expungement of the underlying complaint from NASD Central Registration Depository ("CRD") as maintained by the NASD captioned: Edward Morawiec, Maria Morawiec, Joanna Morawiec and Donna Morawiec v. Continental Broker-Dealer Corp., Wexford Clearing Services Corp., Heung Suh, Dominick Michael Bianco, Leon Fintz, Mark Phillip Goetz, Mark Phillip Goetz, Thomas Michael Tiernan, Jr., Gregory Mumtaz Hasho and Adolph C. Orlando, bearing NASD case no.:02-06107.

Claim Data

Specific Performance: Expungement

Award Data

Expungement: Granted

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 the NASD-DR Case No: 02/06107 Edward Morawiec, Maria Morawiec, Joanna Morawiec and Donna Morawiec v. Continental Broker-Dealer Corp., Wexford Clearing Services Corp., Heung Suh, Dominick Michael Bianco, Leon Fintz, Mark Phillip Goetz, Mark Phillip Goetz, Thomas Michael Tiernan, Jr., Gregory Mumtaz Hasho and Adolph C. Orlando 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 Goetz must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 2) NASD Dispute Resolution shall retain the \$1,250.00 filing fee that the claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Continental Broker - Dealer Corp., the firm Claimant was associated with has not paid to NASD Dispute Resolution the \$1500.00 Member Surcharge previously invoiced.

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Parties' Signatures

Mark Phillip Goetz
Claimant

Signature Date

Edward Morawiec
Respondent

Signature Date

Maria Morawiec
Respondent

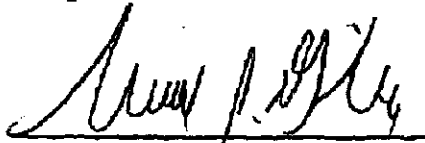
Signature Date

Joanna Morawiec
Respondent

Signature Date

Donna Morawiec
Respondent

Signature Date



MICHAEL GILMORE, ESQ.

9/14/04

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ARBITRATOR

Lalita A. Brockington, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Lalita A. Brockington, Esq., 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.

Lalita A. Brockington
Lalita A. Brockington, Esq.

10-05-04
Signature Date

October 19, 2004
Date of Service (For NASD-DR office use only)