

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-04092

Danforth E. Holley, Claimant v. UBS Financial Services, Inc., Respondent

ATTORNEYS:

Claimant Danforth E. Holley ("Claimant") appeared *pro se*, Detroit, MI.

For Respondent UBS Financial Services, Inc. ("Respondent") appeared Joel E. Davidson, Esq., of the firm Davidson & Grannum, LLP, Northvale, NJ.

NATURE OF DISPUTE: Associated Person vs. Member.

DATE FILED: June 10, 2004.

CASE SUMMARY: Claimant requested that the arbitrator grant expungement of his CRD record.

Claim Data

Claim: Expungement

Award Data

Award: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) Claimant's request for expungement of his CRD record and waiver of his NASD filing fees are denied. NASD rules and the nature of the underlying violations preclude the granting of Claimant's requests. 3) All other relief requests are denied. 4) NASD Dispute Resolution previously waived the \$250.00 filing fee and the \$1,000.00 hearing session deposit. 6) Claimant shall pay NASD Dispute Resolution the previously waived \$250.00 filing fee and \$1,000.00 hearing session deposit.

OTHER ISSUES: The parties unanimously agreed to the appointment of a non-public arbitrator.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

MAR. 9. 2005 11:03AM HERTZ SCHRAM SARETSKY

NO. 804 P. 3

Page Two

Award 04-04092

ARBITRATOR

Bradley J. Schram, Esq. - Sole Non-Public Arbitrator

AFFIRMATION

Bradley J. Schram, Esq., do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my own hand and award.

Bradley J. Schram
Bradley J. Schram, Esq.

3/9/05
Signature Date

March 10, 2005

Date of Service (For NASD-DR office use only)