

**NASD DISPUTE RESOLUTION STIPULATED AWARD**  
**NASD DISPUTE RESOLUTION**

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CASE: 04-07547

Merrill Lynch, Pierce, Fenner & Smith, Inc., Robert Milligan, and Gregory Pease, Claimants v. David Beauchamp and Nancy Beauchamp, Respondents

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**ATTORNEYS:**

For Claimant Merrill Lynch, Pierce, Fenner & Smith, Inc., appeared Frank Cuccio, Esq., of the firm Bressler, Amery & Ross, P.C., New York, NY.

For Claimants Robert Milligan and Gregory Pease appeared Daniel C. Zinman, Esq. and Neil S. Binder, Esq., of the firm Richard Spears Kibbe & Orbe LLP, New York, NY.

For Respondents David Beauchamp and Nancy Beauchamp (collectively "Respondents") appeared Kenneth Rubinstein, Esq., New York, NY.

Claimants Merrill Lynch, Pierce, Fenner & Smith, Inc., Robert Milligan, and Gregory Pease are hereinafter collectively referred to as ("Claimants").

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**NATURE OF DISPUTE:** Member and Associated Persons v. Customers.

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**DATE FILED:** October 28, 2004

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**CASE SUMMARY:** Claimants, in their Statement of Claim seek an order to expunge a previous NASD Arbitration Case No. 02-07068 from the NASD Central Registration Depository records of Robert Milligan and Gregory Pease. Claimants' claim does not involve securities.

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**Claim Data**

Claim: Expungement

**Award Data**

Award: Granted

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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) Claimants' claims for expungement are granted. 2) The Arbitrator recommends the expungement of all reference to NASD Arbitration No. 02-07068 from Claimants Robert Milligan's and Gregory Pease's registration records maintained by NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 99-09 and 99-54, Claimants Robert Milligan and Gregory Pease must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$1,500.00 filing fee that the Claimants 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.

**Parties' Signatures**



Daniel C. Zinman, Esq.

On behalf of Gregory Pease and Robert Milligan.

5/23/05

Signature Date

Frank J. Cuccio, Esq.

On behalf of Merrill Lynch

Signature Date

Kenneth J. Rubinstein, Esq.

On behalf of David and Nancy Beauchamp.

Signature Date

**Arbitrator's Signature**



George M. Bulow

Public Arbitrator

6/15/05

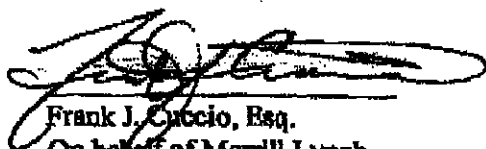
Signature Date

Date of Service (For NASD office use only)

Parties' Signatures

\_\_\_\_\_  
Daniel C. Zinman, Esq.  
On behalf of Gregory Pease and Robert Milligan.

\_\_\_\_\_  
Signature Date


  
\_\_\_\_\_  
Frank J. Cuccio, Esq.  
On behalf of Merrill Lynch

5-23-05  
\_\_\_\_\_  
Signature Date

\_\_\_\_\_  
Kenneth J. Rubinstein, Esq.  
On behalf of David and Nancy Beauchamp.

\_\_\_\_\_  
Signature Date

Arbitrator's Signature

  
\_\_\_\_\_  
George M. Bulow  
Public Arbitrator

6/15/05  
\_\_\_\_\_  
Signature Date

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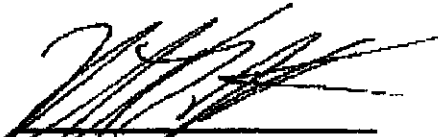
**Parties' Signatures**

Daniel C. Zinman, Esq.  
On behalf of Gregory Pease and Robert Milligan.

Signature Date


Frank J. Cuccio, Esq.  
On behalf of Merrill Lynch

Signature Date

  
Kenneth J. Rubinstein, Esq.  
On behalf of David and Nancy Beauchamp.

Signature Date

**Arbitrator's Signature**

  
George M. Bulow  
Public Arbitrator

6/15/05  
Signature Date

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Stipulated Award 04-07547

George M. Bulow

Sole Public Arbitrator

AFFIRMATION

I, George M. Bulow, 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.

George M. Bulow  
George M. Bulow

7/25/05  
(Signature Date)

July 25, 2005  
Date of Service (For NASD-DR office use only)