

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

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CASE: 05-05821

Banc of America Investment Services, Inc., Alan R. Rosenberg, Patrick M. Dowden and Frederick R. Warren, (Claimants) vs. Martin and Stephanie Reingold, (Respondents)

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**ATTORNEYS:**

For Claimants appeared William E. Goydan, Esq., of the firm Wolff & Samson PC, West Orange, NJ.

Respondents appeared *pro se*, Oceanside, NY.

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

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**DATE FILED:** November 10, 2005

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**CASE SUMMARY:** Claimants requested expungement of all reference to NASD Arbitration Case Number 04-07088. The parties entered into a Stipulated Award.

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**ARBITRATOR'S REPORT:** See attached Exhibit A.

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**Claim Data**

**Award Data**

Claim: Expungement

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) The Panel recommends the expungement of all reference to NASD Arbitration Case Number 04-07088 from Respondent Alan R. Rosenberg's registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Respondent Alan R. Rosenberg must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The claim, allegation, or information is factually impossible and/or clearly erroneous. 2) The Panel recommends the expungement of all reference to NASD Arbitration Case Number 04-07088 from Respondent Patrick M. Dowden's registration records maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Respondent Patrick M. Dowden must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The claim, allegation, or information is factually impossible and/or clearly erroneous. 3) The Panel recommends the expungement of all reference to NASD Arbitration Case Number 04-07088 from Respondent Frederick R. Warren's registration records

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maintained by the Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notices to Members 04-16, Respondent Frederick R. Warren must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. Unless specifically waived in writing by the NASD, parties seeking judicial confirmation of an arbitration award containing expungement relief must name NASD as an additional party and serve NASD with all appropriate documents. Pursuant to Rule 2130 of the NASD Code of Arbitration Procedure, the arbitration panel has made the following affirmative findings of fact: The claim, allegation, or information is factually impossible and/or clearly erroneous. 4) All other relief requests are denied. 5) 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, Banc of America Investment Services, Inc., has paid to NASD Dispute Resolution the \$1,500.00 Member Surcharge previously invoiced.

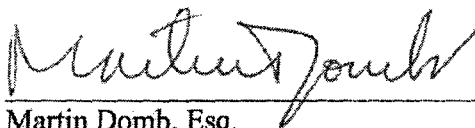
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Martin Domb, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Martin Domb, 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.

A handwritten signature in cursive script, appearing to read "Martin Domb", written over a horizontal line.

Martin Domb, Esq.

MAY 15, 2006  
(Signature Date)

May 16, 2006

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

# EXHIBIT A

## NASD DISPUTE RESOLUTION

### SIMPLIFIED CASE CHECKLIST (continuation sheet)

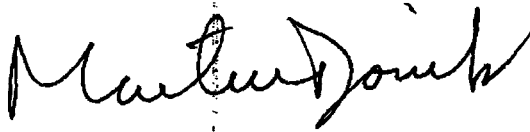
Case Number: 05-05821

Case Name: Banc of America Investment Services, Inc. et al. v. Reingold, et al.

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#### Item 10. Explanation of Relief Granted:

Upon the pleadings submitted, and pursuant to the Simplified Arbitration Procedures of the NASD Dispute Resolution Code of the Code of Arbitration Procedure, I grant the following relief in favor of the Claimants: Pursuant to NASD Conduct Rule 2130, Claimants are entitled to expungement of all reference to the arbitration entitled *Reingold, et al. v. Quick & Reilly, Inc., et al.*, NASD Arb. No. 04-07088, from the registration records, including Forms U-4, maintained by the NASD Central Registration Depository with respect to Patrick M. Dowden, Alan R. Rosenberg and Frederick R. Warren, on the grounds that the claims, allegations or information contained in the statement of claim in such arbitration proceeding were false, factually impossible, and/or clearly erroneous.

  
5/03/06