

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 06-01070

Lori Marie Arrowsmith, (Claimant) vs. American Funds Distributors, Inc., (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Pendleton, IN.

For Respondent appeared Dana D. Howells, Esq., of the firm Capital Group Companies, Los Angeles, CA.

NATURE OF DISPUTE: Associated Person vs. Member

DATE FILED: March 1, 2006

CASE SUMMARY: Claimant alleged that she was wrongfully terminated from her employment with Respondent. Claimant requested expungement from her Central Registration Depository ("CRD") record.

ARBITRATOR'S REPORT: See attached Exhibit A.

Claim Data

Award Data

Claim: Expungement

Award: Denied

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 the Claimant are dismissed in their entirety. 2) Claimant's request for Expungement is denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution initially waived the \$1,250.00 filing fee that the Claimant would have deposited when the claim was filed. 5) The \$1,250.00 filing shall remain waived.

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

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

EXHIBIT A

**NASD DISPUTE RESOLUTION
AWARD OF THE ARBITRATOR**

CASE NAME: *Lori Marie Arrowsmith v. American Funds Distributors*

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The above-named case was submitted to this Arbitrator under the Simplified Case procedure. Having read the Claimant's initial Statement of Claim, the List of Issues, and her proofs including an Administrative Law Judge's Award dated 4/19/06 and having read the Respondent's Answer and Brief on the Issues of Law, the Arbitrator finds as follows:

1. The Claimant **was not** wrongfully discharged.
2. The Claimant **was not** slandered or libeled.
3. The Claimant **was not** slandered or libeled on her U-5. Expungement request is denied.

Date: July 29, 2006

Monette Draper
Monette Draper, Esq., Arbitrator