

NASD DISPUTE RESOLUTION STIPULATED AWARD
NASD DISPUTE RESOLUTION

CASE: 06-02699

Jill Eileen Clark, (Claimant) vs. Wunderlich Securities, Inc., (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, New York, NY.

For Respondent appeared in-house counsel Tracey Wiswall, Memphis, TN.

NATURE OF DISPUTE: Associated Person vs. Member

DATE FILED: June 1, 2006

CASE SUMMARY: Claimant requested an Order expunging certain language from the Form U-5 and Registration Comment Request Form. Respondent had no objection to this request. The parties entered into a Stipulated Award.

Claim Data

Claim: Expungement
Claim: \$995.00

Award Data

Award: Granted
Award: \$995.00

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 the reason for termination on Claimant Jill Eileen Clark's (CRD 47631) Form U-5 filed by Respondent Wunderlich Securities, Inc. (CRD 2543). The new reason for termination should be immediately changed to "VOLUNTARY" and the entirety of the corresponding termination comment made by Wunderlich Securities, Inc. be deleted. Replacement language for the termination comment is not required as Form U5 does not require a termination comment when the reason for termination is "voluntary." The expungement is based on the defamatory nature of the information contained in Claimant's CRD record. 2) Respondent is liable and shall pay Claimant \$995.00. 3) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimant deposited previously

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

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Award 06-02699

Richard Slavin, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard Slavin, 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.



Richard Slavin, Esq.

10/3/06

(Signature Date)

October 4, 2006

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