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FINRA expungement award for broker confirmed by New York Supreme Court

New York Supreme Court confirms FINRA expungement award issued in favor of FINRA broker. See *Brown v. Merrill Lynch, Pierce Fenner & Smith Inc. and FINRA (652510/14)*

PRLog - Dec. 15, 2014 - **NEW YORK** -- Attorney Brittany Weiner, a partner of the law firm Imbesi Law P.C., represented the victorious FINRA broker.

Pursuant to FINRA's procedural rules, the award was required to be confirmed by a court of competent jurisdiction.

Imbesi Law, P.C. petitioned the court on behalf of the broker to confirm the award. On December 3, 2014, the court issued an order confirming the FINRA award and mandating expungement.

The court's order set forth:

Adjudged, that all references of the reasons for termination and the termination explanation from Section 3 and Form U5 of respondent's Jessica Rowald Brown CRD no.: 6099031 registration record maintained by the Central Registration Repository (CRD) be expunged from petitioner's registration records.



Brittany Weiner

That the reason for termination be changed to "other" and that the termination explanation be changed to: " after initially terminating Ms. Brown for alleged failure to adhere to firm standards and failure to follow management's directive, a FINRA arbitration panel has determined that she did not fail to adhere to firm standards or fail to follow management's directives as alleged, " and that the "yes" answer to question 7F(1) of Form U5 be changed to "no", and it is further

Ordered that the clerk is directed to enter judgment accordingly.

Imbesi Law P.C. represents customers, brokers and broker-dealers at FINRA arbitration proceedings, including issues regarding Form U5 expungement.

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