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Imbesi Christensen FINRA broker client has arrest information removed from Form U5

The law firm of Imbesi Christensen received notification from FINRA that its client had all references to an arrest, that was subsequently dismissed, removed from the client's CRD, Form U5 and BrokerCheck

PRLog - Dec. 9, 2013 - NEW YORK -- The law firm of Imbesi Christensen received notification from FINRA that its client had all references to an arrest that was subsequently dismissed, removed from the client's CRD, Form U5 and BrokerCheck.

The client was an associated person of FINRA, employed by a FINRA member. During the client's employment, the client was arrested for larceny. The criminal charges against the client were eventually dismissed, but the reference to the arrest remained in FINRA's CRD and appeared on the client's Form U5 and on the client's BrokerCheck report.

Imbesi Christensen filed an arbitration claim with

FINRA, on behalf of the client, that alleged wrongful termination, defamation and requested expungement. Consecutively, the firm requested that FINRA expunge any reference to the arrest. Prior to resolving the FINRA arbitration, the firm received notification that FINRA removed all reference to the client's arrest.



Jeanne Christensen

Incorrect information that appears on a FINRA broker's Form U5 or BrokerCheck report can unfairly hinder the broker's ability to obtain employment or procure new clients.

Imbesi Christensen represents current and former associated persons of FINRA at arbitration regarding expungement of incorrect information that appears in the CRD, on Form U4s and Form U5s.

Contact

Imbesi Christensen
2127360007
***@lawicm.com

Photo:
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