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Imbesi Christensen wins FINRA Arbitration hearing on behalf of broker; Form U5 Expungement granted

In the Matter of the FINRA Arbitration between Thomas Campbell, Claimant, vs. J.W. Cole Financial, Inc., Respondent (FINRA Arbitration 10-05247). Expungement request granted after hearing.

PRLog - **Jun. 11, 2014 - NEW YORK** -- Attorneys Vincent Imbesi, Jeanne Christensen and Brittany Weiner, of the law firm Imbesi Christensen, represented the victorious FINRA broker. The arbitration panel issued an award granting the firm's client expungement on his Form U5.

The award set forth:

Claimant's Motion for Expungement is granted and the Panel recommends the expungement of the Reason for Termination and the Termination Explanation of Claimant, Thomas Campbell's (CRD# 1888056), Form U5 filed by J.W. Cole Financial, Inc. on July 28,2009 and maintained by the Central Registration Depository ("CRD") based on the defamatory nature of the information. The panel recommends that the Reason for Termination be changed to "Other" and that the Termination Explanation be changed to:

"After initially terminating Mr. Campbell's association for alleged violations of the firm's policies and procedures and failure to apply appropriate mutual fund sales breakpoints, a FINRA arbitration panel has determined that the allegations are factually inaccurate."

The Panel further recommends, based on the defamatory nature of the information, that the "Yes" answer to Internal Review Question 7B on the foregoing Form U5 be changed to "No" and the accompanying Disclosure Reporting Page be deleted in its entirety. The above recommendation also applies to any subsequent disclosures. The Form U5 is not automatically amended to include the changes indicated above. Claimant must forward a copy of this Award to FINRA's Registration and Disclosure Department for the amendments to be incorporated into the Form U5.

All three arbitrators concurred with the decision. A copy of the decision can be obtained by accessing FINRA's website.

Vincent Imbesi, a partner of Imbesi Christensen, represents both customers and brokers in FINRA arbitration, including issues involving expungement of inaccurate information maintained in the CRD and on Form U5s.

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