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Brittany Weiner wins FINRA arbitration hearing on behalf of broker; Form U5 expungement granted

In the Matter of the FINRA Arbitration between Jessica Rowald Brown vs. Merrill Lynch, Pierce, Fenner & Smith Incorporated (FINRA Arbitration Case Number 13-01939). FINRA expungement request granted after hearing.

PRLog - **Aug. 5, 2014 - NEW YORK** -- Attorney Brittany Weiner, of the law firm Imbesi Christensen, successfully represented a FINRA broker that requested expungement of information on her Form U5.

The award set forth:

The Arbitrator recommends the expungement of the Reason for Termination and the Termination Explanation from Section 3 of Claimant Jessica Rowald Brown's (CRD # 6099031) Form U5 filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated on 05/09/2013 and maintained by the Central Registration Depository ("CRD"). The Arbitrator recommends 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 directives, 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."

The Arbitrator further recommends that the "Yes" answer to Question 7F(1) of Claimant Jessica Rowald Brown's Form U5 filed by Merrill Lynch, Pierce, Fenner & Smith Incorporated on 05/09/2013 and maintained by CRD shall be changed to "No" and the accompanying Termination Disclosure Reporting Page shall be deleted in its entirety.

A copy of the decision can be obtained by accessing FINRA's website.

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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