

## FINRA ARBITRATION

Request for Expungement of Customer Dispute Information on Behalf of an Unnamed Person

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### Request for Expungement of Customer Dispute Information on Behalf of

Name of Associated Person

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Name of Party Requesting Expungement

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1. The undersigned party ("party") hereby notifies FINRA of the party's intent to request expungement of customer dispute information on behalf of an associated person who is an unnamed person, as defined under Rule 12100(dd).
2. The parties in the investment-related, customer-initiated arbitration are \_\_\_\_\_ and the case number is \_\_\_\_\_.
3. By signing this request, the associated person agrees to maintain confidentiality of all pleadings, records, and other documents, including any settlement agreement from the investment-related, customer-initiated arbitration to which the associated person is given access in connection with the request for expungement of customer dispute information. The associated person also agrees to adhere to any confidentiality agreements or orders associated with documents produced from the investment-related, customer-initiated arbitration. Failure of the associated person to comply with these requirements could subject the associated person to a claim for damages by an aggrieved party.
4. By signing this request, the party requesting expungement of customer dispute information on behalf of the associated person agrees to represent the associated person's request for expungement relief during the investment-related, customer-initiated arbitration.
5. By signing this request, the associated person agrees to be bound by the panel's recommendation regarding the request for expungement of customer dispute information that will be issued in the award. Further, the associated person understands that he or she will be barred from filing a request for expungement relief for the same customer dispute information in a subsequent proceeding, if the investment-related, customer-initiated arbitration concludes on the merits.
6. If the investment-related, customer-initiated case closes before the hearings on the merits conclude, the associated person may file a request for expungement of the customer dispute information as a new claim under Rule 13805 against the firm at which he or she was associated at the time of the events giving rise to the customer dispute, provided that the request for expungement of the customer dispute information is not barred under Rule 13805(a)(3).

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Name of Associated Person **(please print)**

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Associated Person **(signature)**

Date

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Party Name or Representative of Party Requesting Expungement on behalf of Associated Person **(please print)**

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Party Name or Representative of Party Requesting Expungement on behalf of Associated Person **(signature)**

Date