



ORDER

Submitted By: Michael Meyer (On behalf of the arbitration panel)

Submitted Date: 07/24/2023 04:31:46 PM EST

Case ID & Parties:

FINRA Dispute Resolution Services

ORDER

Case Number: 22-00147

In the Matter of the Arbitration Between

Claimant(s)

VS

Respondent(s)

PREHEARING CONFERENCE

1. Was a prehearing conference held in the above captioned matter?

Yes

No

ISSUES ADDRESSED

2. Issues addressed: (i.e., name of motion or request, by which party)

The following pleadings have been addressed:

The matter before the panel relates to an award of attorney's fees to Respondent. In its award, the panel found that such an award is appropriate for two reasons: the complete lack of evidence to support Claimant's claim; and as set forth in the award. the account agreement provides for such an award in this case.

ORDER DECIDED BY

3. Decided by:

Chairperson

Panel

RULINGS

4. Rulings:

After considering the pleadings submitted by the parties (and oral arguments, if prehearing conference held), the Panel/Chairperson rules as follows:

If the Respondent intends to seek an award of attorneys fees, counsel is directed to submit a fee application supported by an affidavit and sufficient proof of the hours worked with an explanation of the work done and proof that the work done and hourly rate are reasonable in light of the nature and complexity of the case on or before August 7, 2023. Failure to file the application and supporting documents by August 7, 2023, will be taken as evidence that Respondent does not wish to seek such an award.

If Respondent files an application on or before August 7, 2023, Claimant shall file a written response by August 21, 2023. If Respondent does not file a written response by that date, the application shall be regarded as unopposed.

If Respondent submits such an application, Claimant shall submit any response by August 21, 2023.

5. Order compliance date:

The parties should comply with this order by _____

Not applicable

ASSESSMENT OF FEES

6. Cost of prehearing conference:

If the parties settle this matter with no further hearings, the forum fees for this prehearing conference (or discovery-related motion decided without a prehearing conference) are assessed as follows:

_____ % to Claimant(s), jointly and severally

_____ % to Respondent(s), jointly and severally

_____ % assessed to _____

_____ % assessed to _____

_____ % assessed to _____

_____ % assessed to _____

Not applicable

ATTACHMENTS

There are no attached documents.