



ORDER

Submitted By: Edward Morris (On behalf of the arbitration panel)

Submitted Date: 11/15/2023 03:21:13 PM EST

Case ID & Parties:

FINRA Dispute Resolution Services

ORDER

Case Number: [REDACTED]

In the Matter of the Arbitration Between

Claimant(s)

VS

Respondent(s)

[REDACTED]

[REDACTED]

[REDACTED]

[REDACTED]

PREHEARING CONFERENCE

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

Yes

No

a. Prehearing conference date:

A prehearing conference was held in the above captioned matter on **11/15/2023** at **02:00 PM Eastern Time Zone**

b. The following arbitrator(s) participated in the hearing:

Chairman: Edward Morris(Participated)

Panelist: Paul Criswell(Participated)

Panelist: Evalyn Fishbein(Participated)

c. The following party representatives participated in the hearing:

Identify Claimant Representatives:

Bradford Gucciardo, esq.

Identify Respondent Representatives:

Alex Truitt, esq. for Respondent [REDACTED]

Cathy Summer, esq. for Respondent [REDACTED]

d. FINRA Dispute Resolution Services staff attendee:

The following FINRA Dispute Resolution Services Staff person participated in the hearing:

Richard Stirlin

Not applicable

ISSUES ADDRESSED

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

- **The following pleadings have been addressed:**

Respondent [REDACTED] *FINRA Rule 12206(B) Motion to Dismiss*
Claimant's Opposition to Respondent [REDACTED] *Motion to Dismiss*
Respondent [REDACTED] *Reply to Motion to Dismiss*

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:**

Respondent [REDACTED] *Motion to Dismiss pursuant to FINRA Rule 12206 (B) is Granted.*

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

100% assessed to Respondent [REDACTED]

_____ % assessed to _____

_____ % assessed to _____

_____ % assessed to _____

Not applicable

ATTACHMENTS

There are no attached documents.