

**Award**  
**FINRA Dispute Resolution Services**

---

In the Matter of the Arbitration Between:

Claimant  
Jennifer Jasinski

Case Number: 21-01178

vs.

Respondent  
Wells Fargo Clearing Services, LLC

Hearing Site: Chicago, Illinois

---

Awards are rendered by independent arbitrators who are chosen by the parties to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

Nature of the Dispute: Associated Person vs. Member

**REPRESENTATION OF PARTIES**

For Claimant Jennifer Jasinski (“Claimant”): Douglas W. Hyman, Esq., Lewitas Hyman PC, Chicago, Illinois.

For Respondent Wells Fargo Clearing Services, LLC (“Respondent”): Michael Naccarato, Esq., Wells Fargo Legal Department, St. Louis, Missouri.

**CASE INFORMATION**

Statement of Claim filed on or about: May 5, 2021.  
Amended Statement of Claim filed on or about: May 9, 2021.  
Claimant signed the Submission Agreement: May 5, 2021.

Statement of Answer filed on or about: July 8, 2021.  
Respondent signed the Submission Agreement: May 19, 2021.

**CASE SUMMARY**

In the Statement of Claim, as amended, Claimant asserted a claim alleging that the Form U5 filed by Respondent, as part of registration records maintained by the Central Registration Depository (“CRD”), is defamatory in nature.

In the Statement of Answer, Respondent did not object to Claimant’s request for expungement.

### **RELIEF REQUESTED**

In the Statement of Claim, as amended, Claimant requested expungement of the Form U5 filed by Respondent and relevant portions of the related Form U4, \$1.00 in compensatory damages, and any such further relief that the Arbitrator deems just and proper.

In the Statement of Answer, Respondent did not request any relief.

At the hearing, Claimant withdrew the request for \$1.00 in compensatory damages.

### **OTHER ISSUES CONSIDERED AND DECIDED**

The Arbitrator acknowledges that she has read the pleadings and other materials filed by the parties.

### **AWARD**

After considering the pleadings, the testimony and evidence presented at the hearing, and any post-hearing submissions, the Arbitrator has decided in full and final resolution of the issues submitted for determination as follows:

1. The Arbitrator recommends the expungement of all references to Occurrence Number 2117742 from the registration records maintained by the CRD for Jennifer M. Jasinski (CRD Number 5188059). Any "Yes" answers should be changed to "No," as applicable.

The Arbitrator recommends expungement based on the defamatory nature of the information. The above recommendations are made with the understanding that the registration records are not automatically amended. Claimant Jennifer M. Jasinski must forward a copy of this Award to FINRA's Credentialing, Registration, Education and Disclosure Department for review.

2. Any and all claims for relief not specifically addressed herein, including any requests for punitive damages, treble damages, and attorneys' fees, are denied.

### **FEES**

Pursuant to the Code of Arbitration Procedure, the following fees are assessed:

#### **Filing Fees**

FINRA Dispute Resolution Services assessed a filing fee\* for each claim:

Initial Claim Filing Fee	= \$ 1,600.00
--------------------------	---------------

*\*The filing fee is made up of a non-refundable and a refundable portion.*

#### **Member Fees**

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Accordingly, as a party, Respondent is assessed the following:

Member Surcharge	= \$	2,000.00
Member Process Fee	= \$	3,850.00

**Hearing Session Fees and Assessments**

The Arbitrator has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the Arbitrator(s), including a pre-hearing conference with the Arbitrator(s), which lasts four (4) hours or less. Fees associated with these proceedings are:

One (1) pre-hearing session @ \$50.00/session		= \$	50.00
Pre-Hearing Conference: September 15, 2021	1 session		
One (1) hearing session @ \$50.00/session		= \$	50.00
Hearing: December 16, 2021	1 session		
<hr/>			
Total Hearing Session Fees		= \$	100.00

The Arbitrator has assessed the total hearing session fees to Claimant.

All balances are payable to FINRA Dispute Resolution Services and are due upon receipt.

**ARBITRATOR**

Marilee Roberg

-

Sole Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument, which is my award.

**Arbitrator's Signature**

***Marilee Roberg***

Marilee Roberg  
Sole Public Arbitrator

**12/20/2021**

Signature Date

Awards are rendered by independent arbitrators who are chosen by the parties to issue final, binding decisions. FINRA makes available an arbitration forum—pursuant to rules approved by the SEC—but has no part in deciding the award.

December 20, 2021

Date of Service (For FINRA Dispute Resolution Services use only)