

**From:** Securities Arbitration Commentator searches@securitiesarbitrationcommentator.ccsend.com  
**Subject:** NEW AWARDS\_UPDATE: ARBchek 2026-03  
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SC

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**Sean Coffey**  
Phillips ADR Enterprises (PADRE)

#### TOPICS INCLUDE:

- Trends in Securities Litigation
- Trends in Delaware Law
- SEC Enforcement
- Electronic Discovery Trends,  
Including Use of AI in Discovery

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and to link via Docket Number to the Award**

**UPDATE:ARBCEK - SAC's Award Reporter**

Fresh Summaries of Just Released Awards

## UA 2026-03

### New Award Briefs

2026-03

Report Dated: 2026-02-02

Primary Sort

State

Ascending

Secondary Sort

Docket No

Ascending

Sort

#### Dispute Information

TypeDisp EmployeeMember	Allegation I Expungement(CRD)
Short Caption Mattison v. Centaurus Financial	Allegation II
Forum FINRA	Allegation III
Docket No 25-00552	Products DirectInvesmts
Issue Date 2026-01-14	
Situs Washington State DC	

#### Damages\*

Clmd Compensatory	Equity
Total Amt Awarded	Equity
Compensatory Awarded	Equity
Punitive Damage Awarded	
Attorney Fees Awarded	
* Damage field dollar figures are divided by 1,000 and rounded to the nearest \$100; e.g., \$2,500 appears as " 2.5."	

#### Case Summary

A Panel grants Claimant broker's request for expungement of a customer complaint from his CRD record despite the objection of the authorized representative of the state securities regulator for Maryland.

#### Notes

Arbitrator Remarks -- Expungement granted.

#### People & Entities

<b>Arbitrators</b> Donald Dreyfus – Chair; Sidney J. Wartel, JD; Howard Alan Grinsberg	<b>Broker-Dealers Named</b> Centaurus Financial Incorporated
<b>Professionals</b> Cs: (MCM) Jennifer Cox, AdvisorLaw LLC, Broomfield, CO. Rs: (CFInc) Michael J. Carey, Anaheim, CA. ISC.	

## Selected Awards of Interest:

### Joseph v. Essex National

FINRA ID #25-00492 (New York, NY, 1/12/26) - A majority public Panel explains why it has decided to grant Respondent broker-dealer's Pre-Hearing Motion to Dismiss pursuant to FINRA Rule 12206 (Six-year Eligibility Rule) finding that the account in question was closed in February 2004, more than twenty years ago, well outside the applicable statute of limitations.

### Dendy v. Raymond James

FINRA ID #25-01437 (Dallas, TX, 1/23/26) - A broker loses, with prejudice, his request for expungement of a customer complaint from appearing on his CRD record as the Panel's decision to award expungement was not unanimous. One Arbitrator found that one or more grounds for expungement in Rule 13805 was not established, disagreeing with his fellow Panelists.

## Recent Post-Award Events

[\(To View Awards, Follow Link To ARBChek's "Docket Number Search" Window\)](#)

<b>Additional Awards, Orders, Motions, Other</b>	
<b>Order to Confirm</b>	<b>20-03390</b>
<b>Other</b>	<b>24-01804</b>

## [Click to View SAC Award Summaries](#)

### All Awards in UA 2026-03

Short Caption	State	Total Amt Awarded
Mattison v. Centaurus Financial	DC	-1
Carassus v. Charles Schwab	FL	0
Bastos v. Citigroup Global	FL	-1
Sadur v. Charles Schwab	IL	56
Dahl v. Morgan Stanley	MN	-1
Braun Mazzucatelli v. Robinhood Financial	NJ	0
Riley v. UBS Financial	NJ	-1
Joseph v. Essex National	NY	-1
Wheeler v. Northwestern Mutual	OH	-1
Dendy v. Raymond James	TX	0

The content of the UA report changes weekly and displays only the most recent Awards.

Click the docket number within the Award summary to view the actual Award!

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For assistance and/or comments, please contact:

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