

ATTACHMENT C

FINRA ARBITRATION

Form Requesting Expungement on Behalf of an Unnamed Person

This Form must be used to request expungement of customer dispute information from the CRD system on behalf of an unnamed person and to obtain the unnamed person's consent to the request.

Arbitration Case Caption and Number ("Customer Arbitration")

Name of Party Requesting Expungement on behalf of Unnamed Person ("Requesting Party")

Name of Associated Person Who is an Unnamed Person and Consents to this Request ("Unnamed Person")

Representations Made by Requesting Party

1. The undersigned Requesting Party hereby notifies FINRA of the Requesting Party's intent to seek expungement of customer dispute information from the CRD system on behalf of the Unnamed Person identified above, pursuant to Rule 12805(a)(2).
2. The Requesting Party identified above agrees to represent the Unnamed Person and the Unnamed Person's interests and to pursue the request for expungement on behalf of the Unnamed Person during the Customer Arbitration.

3. If the Requesting Party withdraws or does not pursue the expungement request on behalf of the Unnamed Person, the Requesting Party understands that the arbitrator or panel is required to deny the expungement request with prejudice.

Representations Made by Unnamed Person

1. The undersigned associated person is an Unnamed Person, as defined under Rule 12100(ff), in the Customer Arbitration.
2. The Unnamed Person consents to the Requesting Party submitting a request to expunge customer dispute information from the CRD system on the Unnamed Person's behalf during the Customer Arbitration.
3. By signing the Form, the Unnamed Person agrees to maintain the confidentiality of any documents and information from the Customer Arbitration to which the Unnamed Person is given access and to adhere to any confidentiality agreements or orders associated with the Customer Arbitration. The Unnamed Person understands that any breach of this provision could potentially subject the Unnamed Person to a claim for damages by an aggrieved party.
4. The Unnamed Person agrees that the arbitrator's or panel's decision regarding the request for expungement of customer dispute information from the CRD system submitted by the Requesting Party on behalf of the Unnamed Person will be final and binding.
5. If the Customer Arbitration closes by award after a hearing, the Unnamed Person agrees that they will be barred from filing a request to expunge the same customer dispute information in any subsequent proceeding.
6. The Unnamed Person understands that if the Requesting Party withdraws or does not pursue the expungement request on behalf of the Unnamed Person, the arbitrator or panel is required to deny the expungement request with prejudice.

Party Name or Representative of Requesting Party Submitting Expungement Request on behalf of Unnamed Person (**please print**)

Party Name or Representative of Requesting Party Submitting Expungement Request on behalf of Unnamed Person (**signature**) **Date**

Name of Associated Person Who is Unnamed in Customer Arbitration (**please print**)

Name of Associated Person Who is Unnamed in Customer Arbitration (**signature**) **Date**