

IN THE UNITED STATES DISTRICT COURT  
FOR THE WESTERN DISTRICT OF NORTH CAROLINA  
CHARLOTTE DIVISION  
3:20CV195-GCM

JAMES WARFIELD, )  
 )  
 Plaintiff, )  
 )  
 vs. ) ORDER  
 )  
 ICON ADVISORS, INC. and ICON )  
 DISTRIBUTORS, INC., )  
 )  
 Defendants. )  
 \_\_\_\_\_ )

This matter is before the Court upon Plaintiff's Unopposed Motion to Confirm Arbitration Award. Pursuant to the Fourth Circuit's decision in this case on appeal, this Court hereby confirms the FINRA Arbitration Award in Dispute Resolution No. 19-00732 and enters a judgment (1) in the amount of \$1,186,975.00 plus interest and (2) that directs the expunction of the Termination Explanation in Section 3 of Warfield's Form U5.

IT IS SO ORDERED.

Signed: May 4, 2022



Graham C. Mullen  
United States District Judge

