

STATE OF SOUTH CAROLINA )

IN THE COURT OF COMMON PLEAS )

COUNTY OF RICHLAND )

CIVIL ACTION NO. 2023-CP-40-00242 )

Curtis D. Bale, )

Plaintiff, )

v. )

**ORDER GRANTING  
JOHN A. DOUGHERTY’S AND WELLS  
FARGO CLEARING SERVICES, LLC,  
F/K/A WELLS FARGO ADVISORS,  
LLC’S MOTION TO COMPEL  
ARBITRATION  
AND MOTION TO STAY**

John A Dougherty, Wachovia Securities Financial )  
Holdings, LLC; Wells Fargo Clearing Services, )  
LLC, f/k/a Wells Fargo Advisors, LLC; Wells )  
Fargo & Company; Wells Fargo Bank, N.A.; and )  
LPL Financial, LLC, )

Defendants. )

**RECEIVED**

**Oct 16 2025**

**SC Court of Appeals**

This matter came before me on Defendants John A. Dougherty’s and Wells Fargo Clearing Services, LLC’s (collectively, “WFCS”) Motion to Dismiss and Compel Arbitration Under 9 U.S.C. §§ 3 and 4 and Motions to Dismiss under Rules 12(b)(1), (3) and (6) and Motion to Stay in the Alternative (the “Motion”). In its Motion, WFCS asks this Court to dismiss Plaintiff Curtis D. Bale’s (“Plaintiff” or “Bale”) claims against Wells Fargo and compel those claims to arbitration or, in the alternative, to stay this litigation pending arbitration. The parties fully briefed the issues.

A hearing was held on November 18, 2024. After careful consideration of the motion, all submissions by WFCS and Bale, and oral arguments by counsel, I hereby GRANT WFCS’s motion to compel arbitration and to stay this action pending arbitration.

Based on the record before me, I further find as follows:

1. Bale and WFCS entered into a valid, binding agreement to arbitrate any disputes between them before the Financial Industry Regulatory Authority (“FINRA”).

2. To the extent this Court has jurisdiction to decide the arbitrability of Bale's claims, I find that Bale's claims against WFCS are subject to the valid, binding agreement to arbitrate before FINRA.

3. This matter and all related proceedings in this matter should be stayed until the claims have been submitted to arbitration before FINRA and the arbitration proceedings have concluded.

THEREFORE, IT IS HEREBY ORDERED that the Motion is GRANTED as follows: The Plaintiff Curtis D. Bale must arbitrate the claims asserted against Wells Fargo Clearing Services, LLC f/k/a Wells Fargo Advisors, LLC and John A. Dougherty. before FINRA, and all proceedings in this action are stayed until after Plaintiff has submitted all claims against WFCS to arbitration with FINRA and the arbitration proceedings have concluded.

IT IS SO ORDERED.



Richland Common Pleas

**Case Caption:** Curtis D Bale vs John A Dougherty , defendant, et al

**Case Number:** 2023CP4000242

**Type:** Order/Compel

So Ordered

Jocelyn Newman