

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-00619

Chester J. Derek Intervivos Trust, claimant vs. Legg Mason Wood Walker, Inc., respondent.

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**ATTORNEYS:**

Claimant appeared through its Trustee, Chester J. Derek, Saginaw, MI.

For Respondent appeared in-house counsel, Sheila Mosmiller Vidmar, Esq., Baltimore, MD.

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**DATE FILED:** February 11, 2000

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**CASE SUMMARY:** Claimant alleged that respondent recommended and purchased unsuitable stock (LCC Intl.) on margin causing claimant to sell said stock after the purchase price took a downturn to cover the margin calls.

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**Claim Data**

Claim: \$24,021.85  
Filing Fees: \$425.00

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**Award Data**

Award: \$.00  
Filing Fees: \$212.50

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimant \$212.50 as reimbursement of the filing fee.

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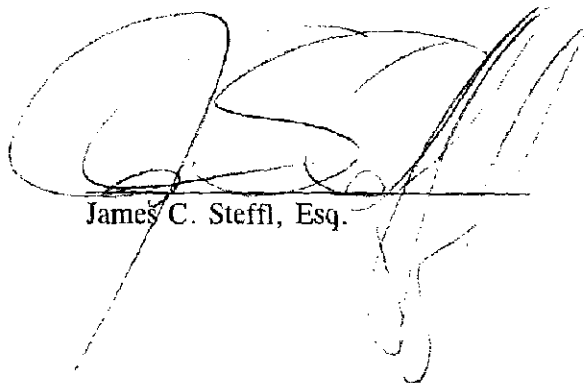
**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 00-00619

AFFIRMATION

I, James C. Steffl, Esq., do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.

A large, stylized handwritten signature in dark ink, appearing to read 'JCS', is written over a horizontal line. The signature is fluid and cursive, with the first letter 'J' being particularly large and looping.

James C. Steffl, Esq.

January 3, 2001

Date of award