

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

CASE: 00-00926

Patricia El Ladd, Claimant vs. Crowell, Weedon & Co., and R. Jacques Bellesisles, Respondents.

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**ATTORNEYS:**

Claimant, Patricia E. Ladd, ("Claimant"), appeared Pro Se., Los Gatos, CA.

For Respondents, Crowell, Weedon & Co., Inc, and R. Jacques Bellesisles, (collectively "Respondent"), appeared in-house counsel James L. Cronk, Esq., Los Angeles, CA.

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DATE FILED: March 2, 2000

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**CASE SUMMARY:** Claimant alleged that Respondents recommended the purchase of securities that were unsuitable for her investment objective. Claimant further alleged that Respondents without prior authorization, purchased and sold securities in her account and failed to disclose material facts.

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**Claim Data**

Claim: \$18,000.00  
Filing Fees: \$.00  
Other: Unspecified

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**Award Data**

Award: \$10,500.00  
Filing Fees: \$425.00  
Other: \$.00

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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) Respondents are jointly and severally liable and shall pay to the Claimant \$10,500.00. 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) Respondents are jointly and severally liable and shall pay to the Claimant \$425.00 as reimbursement of the filing fee.

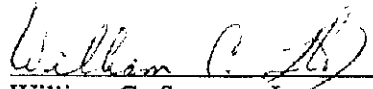
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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent, Crowell, Weedon & Co., has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 00-00926

**AFFIRMATION**

I, William C. Stewart, Jr., 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.

  
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William C. Stewart, Jr.

February 15, 2001  
Date of award