

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-01001

Greg Cass, claimant vs. WestAmerica Investment Group and O.J. Wilkinson, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Morrison, CO.

For Respondent WestAmerica Investment Group appeared Gary R. Blume, Esq., Phoenix, AZ.

For Respondent O.J. Wilkinson appeared Richard G. Himelrick, Esq., Phoenix, AZ.

DATE FILED: March 7, 2000

CASE SUMMARY: Claimant alleged that the options trading in his account were unauthorized and excessive causing a loss in his account.

Claim Data

Claim: \$15,867.72
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$212.50
Other: \$.00

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 requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent WestAmerica Investment Group shall pay claimant \$212.50 as reimbursement of half of the filing fee.

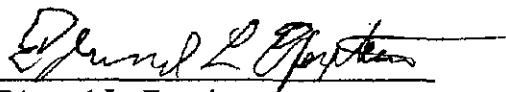
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent WestAmerica Investment Group has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: Respondent's request for a hearing is denied.

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Award 00-01001

AFFIRMATION

I, Edmund L. Epstein, 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.


Edmund L. Epstein

October 24, 2000
Date of award