

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

CASE: 00-03243

Tony Albano, claimant vs. Seibt Financial Services, Hans P. Seibt and Vernon E. Barnum, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Las Vegas, NV.

Respondents appeared through Hans P. Seibt, President, Las Vegas, NV.

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**DATE FILED:** July 31, 2000.

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**CASE SUMMARY:** Claimant alleged that respondents improperly executed the sale of a certificate without verifying its worth, causing a financial loss in claimant's account. Respondents alleged in their counterclaim that claimant failed to repay debit balance created by liquidating his account.

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**Claim Data**

Claim: \$7,903.50  
Attorney Fees: \$500.00  
Other: \$325.00

**Award Data**

Award: \$6,585.36  
Attorney Fees: \$.00  
Other: \$.00

**Counterclaim Data**

Claim: \$1,318.00  
Costs: \$300.00  
Other: \$3,600.00

**Award Data**

Award: \$.00  
Costs: \$.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 \$6,585.36. 2) Respondent's counterclaim has been denied in its entirety. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 6) The \$350.00 counterclaim fee previously deposited with NASD Dispute Resolution, Inc. by respondents, shall be retained by NASD Dispute Resolution, Inc.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent, Seibt Financial Services, has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 00-03243

Charles E. Rumbaugh, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Charles E. Rumbaugh, 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.



Charles E. Rumbaugh, Esq.

6/29/01

Signature Date

RECIPIENTS:

Charles E. Rumbaugh, Esq.

July 13, 2001

Date of service(NASD office use only)