

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03704

Patricia A. Donald, Claimant vs. American Express Financial Advisors, Respondent.

ATTORNEYS:

Claimant, Patricia A. Donald, ("Claimant"), appeared Pro Se, Columbia, MO.

Respondent, American Express Financial Advisors, ("Respondent"), appeared through its Vice President and Group Counsel Gary R. Irwin, Esq., Minneapolis, MN.

DATE FILED: August 24, 2000.

CASE SUMMARY: Claimant alleged that Respondent's error in transferring and processing Claimant's funds to another brokerage firm resulted in an economic loss.

Claim Data

Claim: \$8,307.62
Filing Fees: \$325.00
Other: \$.00
Interest: \$156.15

Award Data

Award: \$6,699.32
Filing Fees: \$325.00
Other: \$.00
Interest: 9% p.a. from 1/21/00 to
until award is paid.

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$6,699.32. 2) All other relief requests are denied. 3) Respondent is liable and shall pay Claimant interest at the rate of 9% per annum from January 21, 2000 until date of the award. 4) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondent is liable and shall pay Claimant \$325.00 as reimbursement of the filing fee.

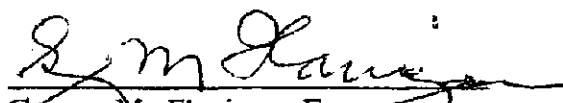
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

ARBITRATOR'S REPORT: The award of \$6,699.32 includes interest to date but does not include the NASD fee of \$325.00 which is also awarded.

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Award 00-03704

AFFIRMATION

I, George M. Flanigan, 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.


George M. Flanigan, Esq.

March 12, 2001
Date of award