

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

CASE: 00-04382

C. E. Everett and William A. Everett, Claimants vs. J.W. Genesis Financial Services, Inc., Respondent.

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**ATTORNEYS:**

Claimants, C.E. Everett and William A. Everett, ("Claimants"), appeared Pro Se, Port Isabel, TX.

Respondent, J.W. Genesis Financial Services, Inc., ("Respondent"), appeared through its in-house counsel Gregory S. Tendrich, Esq., Boca Raton, FL.

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**DATE FILED:** October 3, 2000.

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**CASE SUMMARY:** Claimants alleged that Respondent conducted a series of transactions on their accounts that reduced their combined value. Claimants further alleged that Respondent executed these transactions without providing them with prior notification as requested. Claimants stated that as a result of Respondent's actions, they suffered a financial loss.

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**Claim Data**

Claim: \$24,000.00  
Punitive: \$1,000.00  
Filing Fees: unspecified  
Other Costs: unspecified

**Award Data**

Award: \$.00  
Punitive: \$.00  
Filing Fees: \$.00  
Other Costs: \$.00

**Claim Data**

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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 Claimants are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimants, shall be retained by NASD Dispute Resolution, Inc.

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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.

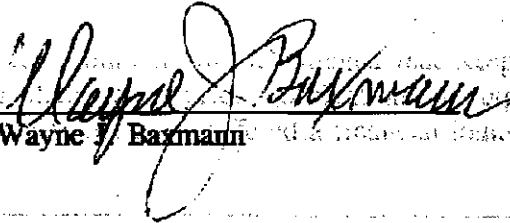
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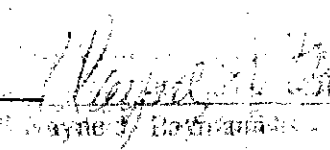
**ARBITRATOR'S REPORT:** Claimants held themselves out as "experts" in technical analysis with speculative investing skills. Their failure to react to monthly reports appears as a primary part of their losses.

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**AFFIRMATION**

I, Wayne J. Baxmann, 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.

  
Wayne J. Baxmann

  
April 27, 2001

Date of award