

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-05432

Summit Financial Services Group, claimant vs. Robert S. Rosch and Phyllis F. Rosch, respondents.

ATTORNEYS:

Claimant appeared through its Vice President, Christopher Maurer: Bethlehem, PA.

Respondents appeared pro se: Summit, NJ.

DATE FILED: December 7, 2000.

CASE SUMMARY: Claimant alleged that in an attempt to transfer Respondents mutual fund account to Merrill Lynch, the Respondents were unjustly enriched when they received more shares than they transferred.

Claim Data

Claim: \$9,863.14
Other: unspecified

Award Data

Award: \$9,863.14
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are liable and shall pay to the Claimant \$9,863.14. 2) All other relief requests are denied. 3) The \$750.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

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


Page Two
Award 00-05432

Randi E. Lowitt

Public Arbitrator

AFFIRMATION

I, Randi Lowitt, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Randi E. Lowitt, Esq.

~~June 29, 2001~~
Date of award

Award Service Date: _____