

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-05473

Summit Financial Services Group, Claimant vs. Jennifer E. Dove, Respondent.

ATTORNEYS:

Claimant, Summit Financial Services Group, appeared through its in-house counsel, Christopher Maurer, Bethlehem, PA..

Respondent, Jennifer E. Dove, did not respond to the Statement of Claim.

DATE FILED: December 11, 2000

CASE SUMMARY: Claimant alleged Respondent unjustly profited from Claimant when she sold shares of mutual funds that she did not actually own. Claimant reversed the sale and notified Respondent of the debt incurred in the reverse sale process, but Respondent has failed to pay off the debit balance in her account.

Claim Data

Claim: \$11,096.74
Filing Fees: unspecified
Other: unspecified

Award Data

Award: \$11,096.74
Filing Fees: \$1,050.00
Other: \$.00

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 \$11,096.74. 2) All other relief requests are denied. 3) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay Claimant \$1,050.00 as reimbursement of the filing fee.

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

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent, Jennifer E. Dove, was served notice of the Statement of Claim by regular mail, Overdue Notice and Notification of Arbitrator by certified mail, as evidenced by the signed signature card on file and is therefore bound by the arbitrator's ruling and determination.

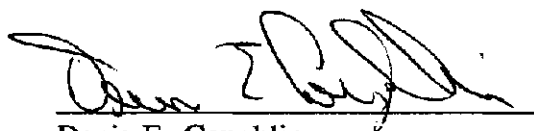
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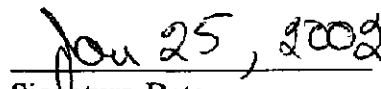
Denis E. Coughlin

Sole Public Arbitrator

AFFIRMATION

I, Denis E. Coughlin, 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.


Denis E. Coughlin


Signature Date

January 31, 2002

Date of Service (For NASD-DR office use only)