

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-00021

Larry W. Barkely, Claimant vs. David R. Nichols, Cheryl A. Walkenhorst, Cindy Y. Thomas & Zions Investment Securities, Inc., Respondents.

ATTORNEYS:

Claimant appeared Pro Se., Ignacio, CO.

Respondents appeared through David R. Nichols, Senior Vice President of compliance, Zion Investment Securities, Inc., Salt Lake City, Utah.

DATE FILED: January 3, 2001

CASE SUMMARY: Claimant alleged that Respondents were negligent in the handling of a purchase order for stocks requested. Claimant maintained that as a result of Respondents' actions, he suffered financial losses.

Claim Data

Claim: \$1,617.00
Interest: unspecified

Filing Fees: \$75.00
Other: unspecified

Award Data

Award: \$1,617.00
Interest: at the rate of 6% per annum
from 1/4/00 to payment of award
Filing Fees: \$75.00
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$1,617.00. 2) Respondents are jointly and severally liable and shall pay to the claimant interest at the rate of 6% per annum from 1/4/00 to payment of the award. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents are jointly and severally liable and shall pay claimant \$75.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent, Zion Investment Securities, Inc. has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.


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Susan M. Thevenet

Sole Public Arbitrator

AFFIRMATION

I, Susan M. Thevenet, 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.


Susan M. Thevenet

9/23/01
Date of award

October 17, 2001
Date of Service (for NASD office use only)