

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-00309

The Estate of Elizabeth B. Robinson, Claimant vs. Sun America Securities, Wells Fargo Securities, Inc. and Thomas B. Gau Respondents.

ATTORNEYS:

For Claimant: Brett J. Saddler, San Diego, CA

For Respondents Sun America Securities, Inc. and Thomas B. Gau appeared Janet Weinstein Lord, Esq., Phoenix, AZ.

For Respondent Wells Fargo Securities, Inc. appeared Gideon E. Mark, Esq., New York, NY.

DATE FILED: January 19, 2001

CASE SUMMARY: Claimant alleged Respondents failed to comply with instructions on an Account Transfer Form which resulted in the decline of the value of the mutual fund. Claimant maintained that as a result of Respondents' action it suffered financial losses.

Claim Data

Claim: \$9,611.78
Punitive: \$5,388.22
Attorney Fees: unspecified
Filing Fees: \$425.00
Interest: unspecified
Other: unspecified

Award Data

Award: \$.00
Punitive: \$.00
Attorney Fees: \$.00
Filing Fees: \$212.50
Interest: \$.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) The claims of Claimant are dismissed in their entirety. 2) All requests for attorney fees are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondents are jointly and severely liable and shall pay to the Claimant \$212.50 as reimbursement for one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondents Sun America Securities Inc. and Wells Fargo Securities, Inc. have each paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

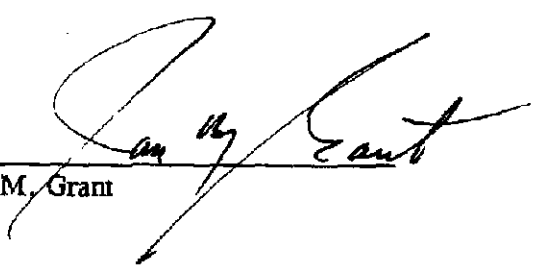
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Award 01-00309

Ian M. Grant

Sole Public Arbitrator

AFFIRMATION

I, Ian M. Grant, 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.



Ian M. Grant1-6-2001

Signature DateJanuary 10, 2002

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