

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

CASE:01-00365

Josephine M. Evans, IRA, claimant vs. Charles E. Dean, Jr., and Dean Securities , respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Olympia, WA.

Respondent Charles E. Dean appeared Pro Se, Olympia, WA.

For Respondent Dean Securities, appeared Jay Randall Dean, Olympia, WA.

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**DATE FILED:** January 23, 2001

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**CASE SUMMARY:** Claimant alleged that respondent engaged in unauthorized trading in her account when the broker purchased the Service Corporation International stock instead of Servicemaster Corporation stock. Claimant further alleged that due to this error, her account experienced losses.

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**ARBITRATOR'S REPORT:** See Attached Exhibit A.

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**Claim Data**

Claim: \$10,513.18  
Interest: \$1,850.31  
Attorneys Fees: \$575.00  
Filing Fees: unspecified  
Other: unspecified

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**Award Data**

Award: \$.00  
Interest: \$.00  
Attorneys Fees: \$.00  
Filing Fees: \$212.50  
Other: \$.00

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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 claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$425.00 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 \$212.50 as reimbursement of one-half the filing fee.

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

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Award 01-00365

Philip H. DeTurk

Sole Public Arbitrator

**AFFIRMATION**

I, Philip H. DeTurk, 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.

  
Philip H. DeTurk

10/15/01  
Signature Date

October 31, 2001

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