

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

CASE:01-00367

Bette S. Margolis, claimant vs. McDonald Investments, Inc. and Trine B. Ford, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Highlands Ranch, CO.

For Respondents appeared Kathryn M. Miley, Esq., of the firm Wilkerson & Associates Co., LPA, Cleveland, OH.

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DATE FILED: January 23, 2001

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**CASE SUMMARY:** Claimant alleged that respondents mismanaged her account when they failed to transfer her funds into a more secure investment as requested. Claimant maintained that due to the mismanagement of her account, she sustained losses.

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**Claim Data**

Claim: \$5,000.00  
Punitive: \$5,000.00  
Other: \$.00

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**Award Data**

Award: \$.00  
Punitive: \$.00  
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 punitive damages are denied. 3) All other relief requests are denied. 4) The \$325.00 filing fee was previously waived by NASD Dispute Resolution, Inc. 5) Claimant shall pay to NASD Dispute Resolution, Inc. \$162.50 for one-half of the filing fee. 6) Respondents shall pay to NASD Dispute Resolution, Inc. \$162.50 for one-half of the filing fee.

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

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Award 01-00367.

John L. Worcester

### Sole Public Arbitrator

## AFFIRMATION

I, John L. Worcester, 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.

**John L. Worcester**

Signature Date

October 29, 2001

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