

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

CASE:01-00754

Bill Rogers, claimant vs. Christopher Goslin and JW Genesis n/k/a First Union Securities Financial Network Inc., respondents.

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**ATTORNEYS:**

For Claimant appeared Harold L. Harkins, Jr., Esq., Tampa, FL.

For Respondents appeared Gregory S. Tendrich, Esq., in-house counsel for First Union Securities, Inc., Boca Raton, FL.

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**DATE FILED:** February 14, 2001

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**CASE SUMMARY:** Claimant alleged that respondents misrepresented and omitted facts about a certificate of deposit they recommended to claimant. Claimant maintained that respondents failed to adequately determine the suitability of this investment. Claimant further alleged that respondent charged claimant's account in error.

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**ARBITRATOR'S REPORT:** Misrepresentation and failure to disclose terms of investment on confirmation to claimant.

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**Claim Data**

Claim: \$569.68

Interest: \$.00

Attorney Fees: \$1,000.00

Filing Fees: \$425.00

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**Award Data**

Award: \$569.68

Interest: @ 1.875% per annum from 1/27/00 to the date of payment of the award.

Attorney Fees: \$1,000.00

Filing Fees: \$50.00

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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) Respondents are jointly and severally liable and shall pay to the claimant \$569.68. 2) Respondents are jointly and severally liable and shall pay to the claimant interest at a rate of 1.875% per annum from January 27, 2000 until date of payment of the award. 3) Respondents are jointly and severally liable and shall pay claimant attorney fees in the amount of \$1,000.00 according to claimant's request. 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 severally liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent JW Genesis n/k/a First Union Securities Financial Network, Inc. has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

Page Two  
Award 01-00754

Ronald W. Devoe

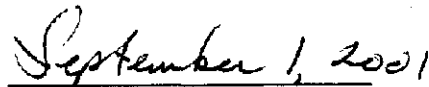
Sole Public Arbitrator

**AFFIRMATION**

I, Ronald W. Devoe, 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.



Ronald W. Devoe



Signature Date

September 28, 2001

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