

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

CASE:01-01381

Florence Levis and Ruth Haas, claimants vs. Banc of America Investment Services, Inc. and Charles Cook, respondents.

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**ATTORNEYS:**

For Claimants appeared Sheldon M. Jaffe, Esq., Los Angeles, CA.

For Respondents appeared Andrea Hackett Henningson, Esq., of the firm Steefel Levitt & Weiss, P.C., San Francisco, CA.

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**DATE FILED:** March 20, 2001

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**CASE SUMMARY:** Claimants alleged that respondents misled them when they recommended stocks that were unsuitable to their investment objectives and ages and thereby caused a loss to their account. Claimants further alleged elder abuse by the respondents.

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**Claim Data**

Claim: \$5,000.00  
Treble: \$10,000.00  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**

Award: \$.00  
Treble: \$.00  
Filing Fees: \$.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 claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee was previously waived by NASD Dispute Resolution, Inc. by the claimants, shall be retained by NASD Dispute Resolution, Inc. 4) Respondents shall pay NASD Dispute Resolution, Inc. \$425.00 for the filing fee.

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


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Jesse D. Miller, JD

Sole Public Arbitrator

**AFFIRMATION**

I, Jesse D. Miller, JD, 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.

  
Jesse D. Miller, JD

11-26-01  
Signature Date

December 5, 2001  
Date of Service (For NASD-DR office use only)