

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

CASE: 01-01795

Julie Fugate, claimant vs. Banc of America Investment Services, Inc., respondent.

---

**ATTORNEYS**

Claimant appeared pro se, Sherwood, OR.

For Respondent appeared John F. McGrory, Jr., Portland, OR.

---

**DATE FILED:** April 9, 2001

---

**CASE SUMMARY:** Claimant alleged respondent did not execute trades in her account at the time she requested them to do so.

---

**Claim Data**

Claim: \$5,151.14  
Punitive: \$5,151.14  
Interest: unspecified

Filing Fees: unspecified  
Other: unspecified

---

**Award Data**

Award: \$5,151.14  
Punitive: \$.00  
Interest: at a rate of 9% per annum  
from 12/5/00 until date of  
payment of award.  
Filing Fees: \$425.00  
Other: \$.00

---

**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$5,151.14. 2) All requests for punitive damages are denied. 3) Respondent is liable and shall pay to claimant interest at a rate of 9% per annum from 12/5/00 to date of payment of award. 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) Respondent is liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

---

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

Page Two  
Award 01-01795

Nina Vallion, JD

-

Sole Public Arbitrator

**AFFIRMATION**

I, Nina Vallion, 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.

Nina Vallion  
Nina Vallion, JD

Dec. 25, 2001  
Signature Date

January 9, 2002  
Date of Service (For NASD-DR office use only)