

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-04702

John H. Kirsch, claimant vs. Sutro & Co. n/k/a RBC Dain Rauscher, respondent.

ATTORNEYS:

Claimant appeared pro se, Seal Beach, CA.

For Respondent appeared Dana L. Wolf, Senior Compliance Officer, Minneapolis, MN.

DATE FILED: August 9, 2002

CASE SUMMARY: Claimant alleged that respondent made misrepresentations regarding the sale and purchase of investments in his account. Claimant maintained that due to respondent's actions, the account suffered losses.

Claim Data

Claim: \$10,000.00

Award Data

Award: \$.00

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 other relief requests are denied. 3) The \$75.00 non-refundable filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 4) The \$250.00 hearing session deposit was previously waived by NASD Dispute Resolution. 5) Claimant is liable and shall pay NASD Dispute Resolution \$87.50 representing one-half of the initial filing fee and hearing session deposit. 6) Respondent is liable and shall pay NASD Dispute Resolution \$162.50 as payment of one-half of the initial filing fee and hearing session deposit.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

Page Two
Award 02-04702

Gordon MacMillan

Sole Public Arbitrator

AFFIRMATION

I, Gordon MacMillan, 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.

Gordon MacMillan
Gordon MacMillan

11/25/02
Signature Date

December 11, 2002

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