

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-04905

Dr. Laurence Pilgeram, TTEE, claimant vs. Robert Malkin , respondent.

ATTORNEYS:

Claimant appeared pro se, Goleta, CA.

Respondent appeared pro se, Ojai, CA.

DATE FILED: August 21, 2002

CASE SUMMARY: Claimant alleged that respondent misrepresented and failed to disclose the true market value of bonds in his account. Claimant maintained that due to respondent's actions, his account suffered a loss.

Claim Data

Claim: \$5,250.00
Punitive: \$4,750.00
Interest: \$2,649.50
Filing Fees: \$325.00
Other: \$150.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Filing Fees: \$.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) The claims of claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$325.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

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

Page Two
Award 02-04905

Kim Trowbridge Buckley

Sole Public Arbitrator

AFFIRMATION

I, Kim Trowbridge Buckley, 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.



Kim Trowbridge Buckley

Signature Date

February 21, 2003

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