

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-05553

Dean Galvin, claimant vs. Empire Financial Group, Inc., respondent.

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**ATTORNEYS:**

Claimant appeared pro se, Orlando, FL.

Respondent appeared through its Compliance Manager, Randy Cupples, Longwood, FL.

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DATE FILED: September 19, 2002

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**CASE SUMMARY:** Claimant alleged that respondent failed to correct erroneous transactions executed in his account. Claimant contended that respondent liquidated shares of stock from his account without his authorization. Claimant maintained that due to respondent's actions, the account suffered losses.

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**Claim Data**

Claim: \$765.00  
Punitive: \$20,000.00  
Filing Fees: \$425.00  
Other: Unspecified

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**Award Data**

Award: \$765.00  
Punitive: \$.00  
Filing Fees: \$425.00  
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) Respondent is liable and shall pay to the claimant \$765.00. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is 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 has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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**OTHER ISSUE:** Claimant's Motion to Preclude Respondent's answer was denied by the Arbitrator.

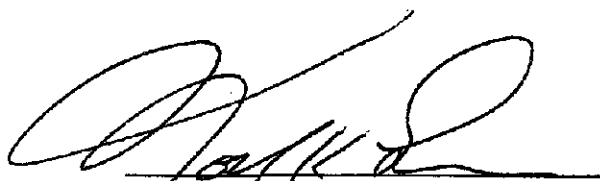
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Noel K. Evans, Esq.                      -

Sole Public Arbitrator

**AFFIRMATION**

I, Noel K. Evans, Esq., 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.

  
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Noel K. Evans, Esq.

1/21/03  
Signature Date

January 30, 2003  
Date of Service (For NASD-DR office use only)