

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06300

Robert Keese, claimant vs. Kurt Emerick and Raymond James Financial Services, Inc., respondents.

ATTORNEYS:

Claimant appeared pro se, Corpus Christi, TX.

For Respondents appeared in-house counsel, Rick A. Buchwalter, Esq., St. Petersburg, FL.

DATE FILED: October 21, 2002

CASE SUMMARY: Claimant alleged that respondents invested his retirement funds in unsuitable stocks for someone his age without his authorization. Claimant maintained that because of respondents' actions, his account suffered a loss.

Claim Data

Claim: \$25,000.00
Filing Fees: \$425.00
Other: \$1,230.00

Award Data

Award: \$6,000.00
Filing Fees: \$212.50
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$6,000.00. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 4) Respondents are jointly and severally liable and shall pay claimant \$212.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent, Raymond James Financial Services, Inc., has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

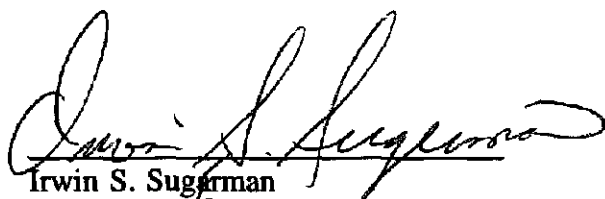
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Award 02-06300

Irwin S. Sugarman

Sole Public Arbitrator

AFFIRMATION

I, Irwin S. Sugarman, 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.


Irwin S. Sugarman

3-17-03
Signature Date

March 25, 2003

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