

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

CASE: 02-06641

The Recker Family Trust, claimant vs. Matthew Straub and H&R Block Financial Advisors, Inc., respondents.

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**ATTORNEYS:**

For Claimant appeared Peter E. Recker, Livonia, MI.

For Respondents appeared in-house counsel, Donald P. Wray, Jr., Esq., Detroit, MI.

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DATE FILED: November 4, 2002

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**CASE SUMMARY:** Claimant alleged that respondents failed to provide pertinent information regarding the purchase of debenture bonds issued by ATT-Canada. Claimant maintained that because of respondents' actions, the account suffered loss.

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**Claim Data**

Claim: \$2,312.00  
Filing Fees: \$75.00  
Other: \$33.00

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**Award Data**

Award: \$2,312.00  
Filing Fees: \$75.00  
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) Respondents are jointly and severally liable and shall pay to the claimant \$2,312.00. 2) All other relief requests are denied. 3) The \$75.00 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 \$75.00 as reimbursement of the filing fee. 5) Respondent, Matthew Straub's request for expungement from his Central Registration Depository ("CRD") record is denied.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent, H&R Block Financial Advisors, Inc., has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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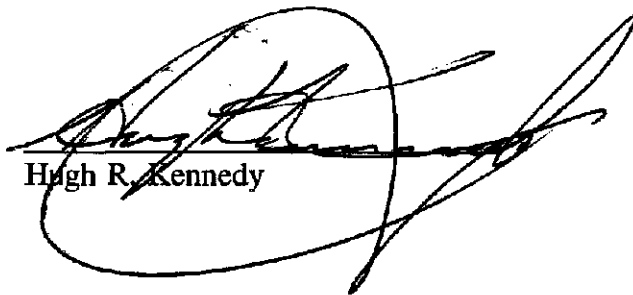
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Hugh R. Kennedy

- Sole Public Arbitrator

**AFFIRMATION**

I, Hugh R. Kennedy, 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.



Hugh R. Kennedy

4 - 16 - 3  
Signature Date

April 25, 2003  
Date of Service (For NASD-DR office use only)