

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-06744

Kenneth W. and Barbara L. Pennington, claimants vs. HA&W Strategic Partners, LLC and HA&W Capital Partners, LLC, respondents.

ATTORNEYS:

Claimants appeared pro se, Lithonia, GA.

For Respondents appeared in-house counsel N. Nicholas Bhandari, Atlanta, GA.

DATE FILED: November 8, 2002

CASE SUMMARY: Claimants alleged that respondents were unable to provide documentation supporting the "under billing" validity of the money removed from their account. Claimants did not specify any security types. Claimants maintained that because of respondents' actions, their account suffered a loss.

Claim Data

Claim: \$1,509.15
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Attorney Fees: \$.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 attorney fees are denied. 3) All other relief requests are denied. 4) The \$75.00 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, respondent, HA&W Strategic Partners, LLC, has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

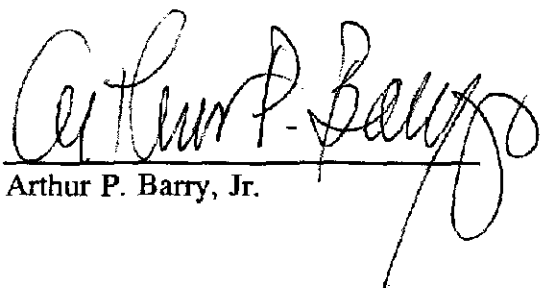
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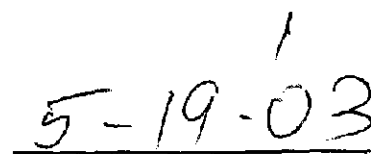
Arthur P. Barry, Jr.

Sole Public Arbitrator

AFFIRMATION

I, Arthur P. Barry, Jr., 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.


Arthur P. Barry, Jr.


Signature Date

July 3, 2003
Date of Service (For NASD-DR office use only)