

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-07277

June Elizabeth Lang, Claimant vs. Gerrit Van Dijk Jr., CFP, Respondent.

ATTORNEYS:

Claimant appeared pro se, Palisade, CO.

Respondent appeared pro se, Grand Junction, CO.

DATE FILED: December 2, 2002

CASE SUMMARY: Claimant alleged that Respondent placed her into investments that were unsuitable for her investments goals. Claimant further alleged that Respondent invested a major portion of her Vanguard Money Market IRA in the AXP Utilities Income Fund, and at a later date, arbitrarily and without her knowledge or consent exchanged to the AXP Bond Fund. Claimant maintained that due to Respondent's actions, she suffered financial losses. Claimant's claims involved corporate bonds and government securities.

Claim Data

Claim: \$4,043.51
Filing Fees: \$175.00

Award Data

Award: \$.00
Filing Fees: \$175.00

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 other relief requests are denied. 3) The \$175.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 4) Respondent is liable and shall pay Claimant \$175.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, American Express Financial Advisors, Inc. has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

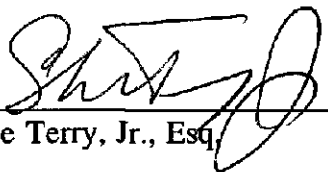
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Award 02-07277

S. Lee Terry, Jr., Esq.

Sole Public Arbitrator

AFFIRMATION

I, S. Lee Terry, Jr., 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.


S. Lee Terry, Jr., Esq.

8-18-03
Signature Date

August 26, 2003
Date of Service (For NASD-DR office use only)