

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

CASE: 02-07580

L.H. Martin Jr. and Eileen Martin, Claimants vs. Caprock Securities, Inc. and Daryl Allison, Respondents.

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**ATTORNEYS:**

Claimants, L. H. Martin Jr. and Eileen Martin, ("Claimants") appeared pro se, Lubbock, TX.

Respondents, Caprock Securities and Daryl Allison, (collectively "Respondents") appeared through Daryl Allison, Lubbock, TX.

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**DATE FILED:** December 16, 2002

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**CASE SUMMARY:** Claimants alleged that Respondents breached their Fiduciary duty, were negligent, manipulative, and misrepresented facts concerning their investment with the corporation. Claimants maintained that due to Respondents' actions, they suffered financial losses.

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**Claim Data**

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

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**Award Data**

Award: \$10,000.00  
Filing Fees: \$212.50  
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 Claimants \$10,000.00. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the Claimants, shall be retained by NASD Dispute Resolution. 4) Respondents are jointly and severally liable and shall pay Claimants \$212.50 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent, Caprock Securities has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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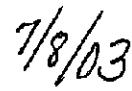
Martha Z. Ralstin

Sole Public Arbitrator

**AFFIRMATION**

I, Martha Z. Ralstin, 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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Martha Z. Ralstin  
RALSTIN

  
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Signature Date

July 22, 2003  
Date of Service (For NASD-DR office use only)