

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01030

William Read Kunzler, Claimant vs. World Group Securities, Inc., Respondent.

ATTORNEYS:

Claimant, William Read Kunzler, ("Claimant"), appeared pro se, Fairbanks, AK.

Respondent, World Group Securities, Inc., ("Respondent") appeared through its Vice-President/Chief Legal Officer, Leesa M. Easley, Duluth, GA.

DATE FILED: February 11, 2003

CASE SUMMARY: Claimant alleged that Respondent has not supplied him with an explanation or with information regarding chargebacks on his commissions dating back to 1999. Claimant further alleged that Respondent is withholding mailed earned income statements as of January 1, 2003. Claimant maintained that due to Respondent's actions, he suffered financial losses.

Claim Data

Claim: \$16,000.00
Interest: Unspecified
Punitive: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Punitive: \$.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 interest are denied. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$125.00 filing fee and the \$300.00 hearing session deposit were previously waived by NASD Dispute Resolution.

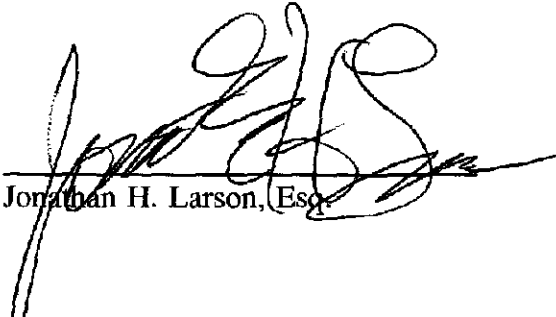
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, World Group Securities, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Jonathan H. Larson, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Jonathan H. Larson, 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.


Jonathan H. Larson, Esq.

8/19/03
Signature Date

September 5, 2003
Date of Service (For NASD-DR office use only)