

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01047

Gerard J. Pobuda and Sandra J. Westerman, Claimants vs. Harisdirect a/k/a Harris Investor Services LLC, Respondent.

ATTORNEYS:

Claimants, Gerard J. Pobuda and Sandra J. Westerman, ("Claimants") appeared Pro Se., Port Oregon, OR.

Respondent, Harisdirect a/k/a Harris Investor Services LLC, ("Respondent") appeared through their in-house counsel, Craig Gingold, Jersey City, NJ.

DATE FILED: February 12, 2003.

CASE SUMMARY: Claimants alleged that Respondents failed to follow their authorization for the transfer of their joint account to Scottrade at the appropriate time. Claimants maintain that due to Respondent's action, they suffered financial losses.

Claim Data

Claim: \$610.00
Punitive: \$250.00
Attorney Fees: Unspecified
Filing Fees: \$50.00
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Attorney Fees: \$.00
Filing Fees: \$50.00
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 requests for punitive damages are denied. 4) All other relief requests are denied. 5) The \$50.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 6) Respondent is liable and shall pay Claimant \$50.00 as reimbursement of the filing fee.

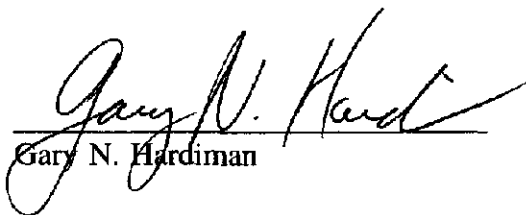
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Award 03-01047

Gary N. Hardiman

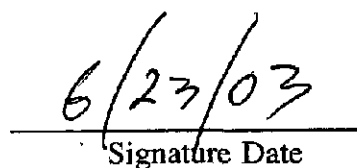
Sole Public Arbitrator

AFFIRMATION

I, Gary N. Hardiman, 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.



Gary N. Hardiman



Signature Date

July 17, 2003

Date of Service (For NASD-DR office use only)