

Stipulated Award
NASD Dispute Resolution

In the Matter of the Arbitration Between:

Ronald R. Partridge, Claimant v. Wachovia Securities, Inc. and Anthony E. Cameron,
Respondents

Case Number: 03-01354

Hearing Site: San Francisco, California

Nature of the Dispute: Customer v. Member and Associated Person

REPRESENTATION OF PARTIES

For Claimant: John W. Barnes, Esq.
Attorney at Law
San Rafael, California

For Respondents: Michael J. Abbott, Esq.
Jones, Bell, Abbott, Fleming & Fitzgerald L.L.P.
Los Angeles, California

CASE INFORMATION

Statement of Claim filed: February 20, 2003

Claimant's Uniform Submission Agreement signed: February 10, 2003

Joint Statement of Answer and Motion to Dismiss filed by Respondents: May 23, 2003

Respondent Anthony E. Cameron's Uniform Submission Agreement signed: May 23, 2003

Respondent Wachovia Securities, Inc.'s Uniform Submission Agreement signed: April 4, 2003

CASE SUMMARY

Claimant alleged breach of contract, breach of fiduciary duty, negligence, misrepresentations and omission of facts, fraud, violations of federal and state laws, and failure to supervise. Claimant's allegations concerned an investment account comprised of various common stocks.

Respondents denied the allegations of wrongdoing set forth in the Claimant's Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

Claimant requested actual damages of \$187,822.00, pre-judgment interest from April 18, 2000 at a rate of 10%, and exemplary damages of \$300,000.00.

Respondents requested dismissal of the Claimant's Statement of Claim in its entirety, and costs, including attorney's fees.

OTHER ISSUES CONSIDERED AND DECIDED

On July 18, 2003, Claimant and Claimant's counsel signed a Waiver Agreement expressly waiving any and all rights and benefits under California Civil Code Section 1542 and the California Ethical Standards for Neutral Arbitrators.

On August 20, 2003, Respondent's counsel signed a Waiver Agreement expressly waiving any and all rights and benefits under California Civil Code Section 1542 and the California Ethical Standards for Neutral Arbitrators.

The panel denied Respondents' Motion to Dismiss or for Summary Judgment after a telephonic pre-hearing conference attended by the parties and the Panel on November 21, 2003.

On July 13, 2004, Claimant dismissed Respondent Anthony E. Cameron from this case with prejudice.

STIPULATION

The parties agreed that the Stipulated Award in this matter may be executed in counterpart copies or that a handwritten, signed Stipulated Award may be entered.

The parties have entered into a confidential settlement agreement pursuant to which Claimant has agreed to dismiss his claims with prejudice and request that an Award be issued expunging the references to this proceeding from the NASD central Registration Depository ("CRD") records of Respondent Anthony E. Cameron.

AWARD

After considering the pleadings, testimony, and the Parties' request for this stipulated award, the Panel decided in full and final resolution of the issues submitted for determination as follows:

1. Claimant's claims are dismissed in their entirety with prejudice.
2. The Panel recommends the expungement of all reference to the above captioned arbitration from Respondent Anthony E. Cameron's registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Anthony E. Cameron must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.
3. All other relief requested and not expressly granted is denied.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

NASD Dispute Resolution received or will collect the non-refundable filing fees for each claim as follows:

Initial claim filing fee	= \$ 300.00
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Member Fees

Member fees are assessed to each member firm that is either a party in the matter or an employer of a respondent associated person at the time of the events which gave rise to the dispute, claim, or controversy. Accordingly, the member firm Wachovia Securities, Inc. is a party and the following fees are assessed:

Member Surcharge	= \$ 1,700.00
Pre-Hearing Process Fee	= \$ 750.00
Hearing Process Fee	= \$ 2,750.00
Total Member Fees	= \$ 5,200.00

Forum Fees and Assessments

The Panel assessed a forum fee for each pre-hearing conference or hearing session conducted. A pre-hearing conference and hearing session is any meeting between the parties and the Chair or the parties and the Panel. The following fees are assessed:

2 Pre-hearing conference sessions with the Panel @ \$1,125.00/session	= \$ 2,250.00
Pre-hearing conferences: October 27, 2003 1 session	
November 21, 2003 1 session	
Total Forum Fees	= \$ 2,250.00

1. The Panel assessed \$1,125.00 of the forum fees to Claimant.
2. The Panel assessed \$1,125.00 of the forum fees jointly and severally to Respondents.

Fee Summary

1. Claimant is charged with the following fees and costs:

Initial Filing Fee	= \$ 300.00
Forum Fees	= \$ 1,125.00
Total Fees	= \$ 1,425.00
Less payments	= \$ (1,425.00)
Balance Due NASD Dispute Resolution	= \$ 0.00

2. Respondent Wachovia Securities, Inc. is charged with the following fees and costs:

Member Fees	= \$ 5,200.00
Less payments	= \$ (5,200.00)
Balance Due NASD Dispute Resolution	= \$ 0.00

3. Respondents Wachovia Securities, Inc. and Anthony E. Cameron are charged jointly and severally with the following fees and costs:

Forum Fees	= \$ 1,125.00
Less payments	= \$ (0.00)
Balance Due NASD Dispute Resolution	= \$ 1,125.00

All balances are payable to NASD Dispute Resolution and are due upon the receipt of the Award pursuant to Rule 10330(g) of the Code.

ARBITRATION PANEL

Patricia Shuler Schimbor, Esq.	-	Public Arbitrator, Presiding Chair
Martin Mandel, Esq.	-	Public Arbitrator
Juleanne A. Thiebaut	-	Non-Public Arbitrator

Patricia Shuler Schimbor, Esq.
Chair, Public Arbitrator

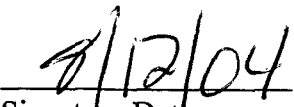
Signature Date

Martin Mandel, Esq.
Public Arbitrator

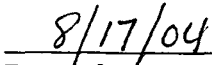
Signature Date



Juleanne A. Thiebaut
Non-Public Arbitrator



Signature Date



Date of Service

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Patricia Shuler Schimbor, Esq.	-	Public Arbitrator, Presiding Chair
Martin Mandel, Esq.	-	Public Arbitrator
Juleanne A. Thiebaut	-	Non-Public Arbitrator

Patricia Shuler Schimbor
Patricia Shuler Schimbor, Esq.
Chair, Public Arbitrator

8-10-04
Signature Date

Martin Mandel, Esq.
Public Arbitrator

Signature Date

Juleanne A. Thiebaut
Non-Public Arbitrator

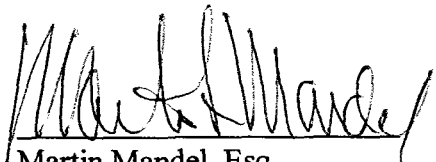
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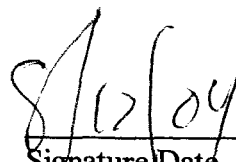
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