

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01360

Bonnie J. Haycraft, Claimant v. D.A. Davidson & Co. and Cort L. Wilcox, Respondents.

ATTORNEYS:

For Claimant, Bonnie J. Haycraft, ("Claimant"), appeared Terry C. Haycraft, Tacoma, WA.

For Respondents, D.A. Davidson & Co. and Cort L. Wilcox, ("Respondents") appeared Anders T. Berry, Esq., Great Falls, MT.

NATURE OF DISPUTE: Customer v. Member and Associated Person

DATE FILED: February 24, 2003

CASE SUMMARY: Claimant alleged that Respondent did not exercise proper care and judgement with regard to her account, and improperly invested her retirement funds in unsuitable, high risk stock. Claimant maintained that due to Respondents' actions, her retirement account suffered financial losses. Claimant's claim involved unspecified securities products.

Claim Data

Claim: \$25,000.00
Interest: \$4,050.00
Attorney Fees: \$1,321.52
Filing Fees: \$500.00
Other: \$500.00

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.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 attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent D.A. Davidson & Co. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.


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Richard E. Keefe, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard E. Keefe, Esq., do hereby affirm that I am the individual described herein, and who executed this instrument which is my award.


Richard E. Keefe, Esq.

11.18.03

Signature Date

November 28, 2003
Date of Service (For NASD-DR office use only)