

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

CASE: 03-01388

Carmen I. O'Quinn, Claimant vs. Wells Fargo Investments, LLC and Rick Perkins, Respondents.

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**ATTORNEYS:**

Claimant, Carmen I. O'Quinn appeared pro se, Fort Collins, CO.

For Respondents, Wells Fargo Investments, LLC and Rick Perkins, appeared Robert T. Sullwold, Esq. of the firm Sullwold & Hughes, San Francisco, CA.

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**DATE FILED:** February 25, 2003

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**CASE SUMMARY:** Claimant alleged that Respondents breached their fiduciary duty to her by placing her in unsuitable investments. Claimant maintained that due to Respondents' actions, she suffered financial losses. Claimant's claim involved a Dreyfus mutual fund.

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**Claim Data**

Claim: \$10,309.77

Filing Fees: \$.00

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**Award Data**

Award: \$7,344.00

Filing Fees: \$212.50

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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) Respondent, Wells Fargo Investments, LLC is liable and shall pay to the Claimant \$7,344.00. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 4) Respondent, Wells Fargo Investments, LLC is liable and shall pay Claimant \$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, Wells Fargo Investments, LLC has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

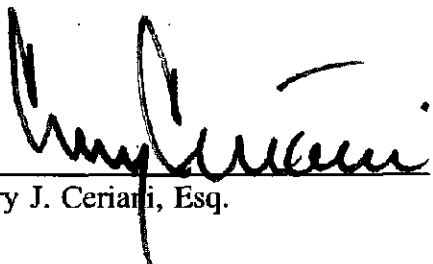
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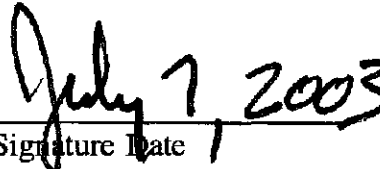
Gary J. Ceriani, Esq.

Sole Public Arbitrator

**AFFIRMATION**

I, Gary J. Ceriani, 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.

  
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Gary J. Ceriani, Esq.

  
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Signature Date

July 17, 2003  
Date of Service (For NASD-DR office use only)