

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-01389

Gary B. O'Quinn, Claimant vs. Wells Fargo Investments, LLC, and Bradley Thompson, Respondents.

ATTORNEYS:

Claimant, Gary B. O'Quinn, ("Claimant"), appeared pro se, Port Collins, CO.

For Respondents, Wells Fargo Investments, LLC, and Bradley Thompson, (collectively "Respondents"), appeared Robert T. Sullwold, Esq., of the Law Offices of Sullwold & Hughes, San Francisco, CA.

DATE FILED: February 25, 2003

CASE SUMMARY: Claimant alleged that Respondents misrepresented, omitted facts and placed him with an inexperienced advisor. Claimant further alleged that Respondents were negligent and made incorrect and unsuitable investments in his regular investment and IRA accounts. Claimant maintained that due to Respondents' actions, the accounts suffered losses.

Claim Data

Claim: \$19,548.19
Interest: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$6,750.00
Interest: \$.00
Filing Fees: \$212.50
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the Claimant \$6,750.00. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 5) Respondents are jointly and severally liable and shall pay Claimant \$212.50 as reimbursement of one-half of the filing fee.

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.

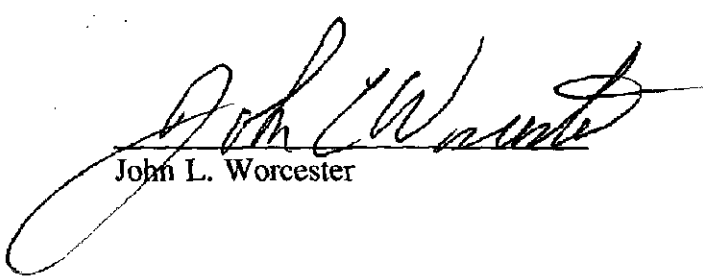
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Award 03-01389

John L. Worcester

Sole Public Arbitrator

AFFIRMATION

I, John L. Worcester, 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.



John L. Worcester

9/18/2003
Signature Date

September 24, 2003

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