

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-03700

Thomas A. Pashos, Claimant vs. Doug Parker, Respondent.

ATTORNEYS:

Claimant, Thomas A. Pashos, ("Claimant"), appeared pro se, Tucson, AZ.

For Respondent, Doug Parker, ("Respondent"), appeared Richard A. Karoly, Esq., San Francisco, CA.

DATE FILED: May 20, 2003

CASE SUMMARY: Claimant alleged that Respondent did not follow his instructions, and improperly liquidated his 14 Invesco mutual funds instead of transferring them to Invesco. Claimant maintained that due to Respondent's actions, he suffered financial losses.

Claim Data

Claim: \$4,000.00

Punitive: \$750.00

Filing Fees: Unspecified

Other: Return of shares of all Invesco

Funds & dividends paid 03/31/03

Award Data

Award: \$.00

Punitive: \$.00

Filing Fees: \$.00

Other: Denied

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 punitive damages are denied. 3) All other relief requests are denied. 4) The arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Doug Parker's registration record maintained by the NASD Central Registration ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Doug Parker must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 5) \$175.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution.

OTHER FEES: Pursuant to Rule 10333 of the Code, Charles Schwab & Co. Inc. has paid to NASD Dispute Resolution the \$00.00 Member Surcharge previously invoiced.

Page Two
Award 03-03700

George N. Roy, CPA

Sole Public Arbitrator

AFFIRMATION

I, George N. Roy, CPA, 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.

George N. Roy, CPA

October 1, 2003
Signature Date

October 14, 2003

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