

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-03734

James J. Close, Claimant vs. Wachovia Securities Financial Network, Inc., Respondent.

ATTORNEYS:

Claimant, James J. Close, ("Claimant"), appeared pro se, West Yarmouth, MA.

Respondent, Wachovia Securities Financial Network, Inc., ("Respondent") appeared through its in-house counsel, David H. Jarvis, Esq., Richmond, VA.

DATE FILED: May 21, 2003

CASE SUMMARY: Claimant alleged that Respondent withheld his earned commission for December 2002, and has not paid him his Mutual Fund commission trail. Claimant maintained that due to Respondent's actions, he suffered financial losses.

Claim Data

Claim: \$2,477.99
Punitive: \$2,477.99
Filing Fees: \$175.00
Other: Unspecified

Award Data

Award: \$987.61
Punitive: \$.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) Respondent is liable and shall pay to the Claimant \$987.61. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$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, Respondent, Wachovia Securities Financial Network, Inc., has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

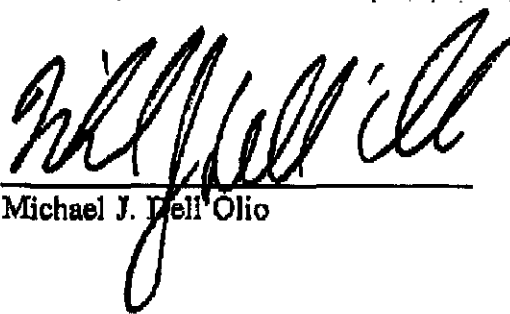
Page Two
Award 03-03734

Michael J. Dell'Olio, J.D.

Sole Non-Public Arbitrator

AFFIRMATION

I, Michael J. Dell'Olio, J.D., 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.



Michael J. Dell'Olio

9/19/03
Signature Date

September 22, 2003
Date of Service (For NASD-DR office use only)