

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**  
CASE: 03-03855

Laurence Pilgeram TTEE Pilgeram TR, Claimant v. David E. Weiner, Respondent.

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**ATTORNEYS:**

Claimant, Laurence Pilgeram TTEE Pilgeram TR, ("Claimant"), appeared pro se, Goleta, CA.

Respondent, David E. Weiner, ("Respondent"), appeared pro se, Tenafly, NJ.

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**NATURE OF DISPUTE:** Customer v. Associated Person

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**DATE FILED:** May 28, 2003

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**CASE SUMMARY:** Claimant alleged that Respondent was negligent, breached his fiduciary duty, and misrepresented and omitted material facts about Washington County, Mississippi, Multifamily Revenue Housing-Greenville Residential Bonds. Claimant maintained that due to Respondent's actions, his trust account suffered financial losses.

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**Claim Data**

Claim: \$25,000.00  
Interest: \$41,250.00

Attorney Fees: Unspecified  
Filing Fees: \$425.00  
Other: Unspecified

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**Award Data**

Award: \$25,000.00  
Interest: At the rate of eight and a quarter percent (8.25%) per annum from the date of this decision until award is paid in full  
Attorney Fees: \$.00  
Filing Fees: \$212.50  
Other: \$.00

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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 is liable for and shall pay to the Claimant \$25,000.00. 2) Respondent is liable for and shall pay to the Claimant interest at the rate of eight and a quarter percent (8.25%) per annum from the date of this decision until award is paid in full. 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. 6) Respondent is liable for and shall pay to the Claimant \$212.50 as reimbursement of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Cumberland Brokerage Corporation, the member firm associated with the Respondent at the time of the dispute, has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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## ARBITRATOR

**Douglas Martin Crow - Sole Public Arbitrator**

## AFFIRMATION

I, Douglas Martin Crow, 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.

  
Douglas Martin Crow

March 23, 2004  
Signature Date

April 6, 2004

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