

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-03857

Laurence Pilgeram, Claimant v. Shawn P. Fowler, Respondent.

ATTORNEYS:

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

For Respondent, Shawn P. Fowler, ("Respondent"), appeared David R. Ball, Esq., of the firm Holme, Roberts & Owen, LLP, Denver, CO.

NATURE OF DISPUTE: Customer v. Associated Person

DATE FILED: May 28, 2003

CASE SUMMARY: Claimant alleged that Respondent was negligent, breached his fiduciary duty, and misrepresented, omitted, and manipulated material facts regarding his investments in municipal bonds. Claimant maintained that due to Respondent's actions, his account suffered financial losses.

Claim Data

Claim: \$23,385.40
Punitive: \$1,500.00
Interest: Accruing from 6.12.00 at \$5.20 per day,
to total \$399.99
Attorney Fees: Unspecified
Filing Fees: \$425.00
Other: \$35.00

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00

Attorney Fees: \$.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) The claims of the Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for interest are denied. 4) All requests for attorney fees are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 7) Respondent is liable and shall pay to the Claimant \$212.50 as reimbursement of one-half of the filing fees.

ARBITRATOR

Quinton F. Seamons, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Quinton F. Seamons, 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.

QUINTON F. SEAMONS
Quinton F. Seamons, Esq.

July 9, 2004
Signature Date

July 20, 2004
Date of Service (For NASD-DR office use only)