

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-04229

William F. Vogelbaugh, Claimant vs. H&R Block Financial Advisors, Inc., and Charles Williams, Respondents.

ATTORNEYS:

For Claimant appeared Barbara L. Wolf, Esq., Fort Lauderdale, FL.

For Respondents, H&R Block Financial Advisors, Inc. and Charles Williams appeared in-house counsel, Lisa S. Fildes, Esq., Detroit, MI.

DATE FILED: June 10, 2003

NATURE OF CLAIM: Customer v. Member Firm and Associated Person

CASE SUMMARY: Claimant alleged that Respondents breached their contract and fiduciary duties to him, violated NASD and NYSE rules, were negligent, recommended an unsuitable purchase of Liberate Technologies, and failed to supervise his account. Claimant maintained that due to Respondents' actions, his account suffered financial losses.

Claim Data

Claim: \$20,000.00
Interest: Unspecified
Attorney Fees: Unspecified
Punitive: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
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) The claims of Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for attorney fees are denied. 4) All requests for punitive damages are denied. 5) All other relief requests are denied. 6) The \$425.00 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, H&R Block Financial Advisors, Inc. has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

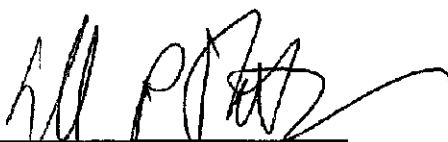
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Award 03-04229

David P. Slater, Esq.


Sole Public Arbitrator

AFFIRMATION

I, David P. Slater, 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.



David P. Slater, Esq.



Signature Date

10/20/03
Date of Service (For NASD-DR office use only)