

**STIPULATED AWARD  
NASD Dispute Resolution**

---

In the Matter of the Arbitration Between

Name of Claimant

Earl Williams

and

03-05314  
Chicago, Illinois

Name of Respondents

H&R Block Financial Advisors, Inc. f/k/a Olde Discount Corporation  
Brandon Self

---

Nature of the Dispute: Customer vs. Member and Associated Person

**REPRESENTATION OF PARTIES**

Earl Williams ("Claimant") appeared Pro Se.

H&R Block Financial Advisors, Inc. f/k/a Olde Discount Corporation ("H&R Block") and Brandon Self ("Self"), hereinafter collectively referred to as "Respondents", were represented by Lisa S. Fildes, Esq., H&R Block Financial Advisors, Inc. f/k/a Olde Discount Corporation, Detroit, Michigan.

**CASE INFORMATION**

The Statement of Claim was filed on or about July 21, 2003. The Submission Agreement of Claimant was signed on or about June 29, 2003.

The Statement of Answer was jointly filed by Respondents on or about September 6, 2003. The Submission Agreement of Respondent H&R Block was signed on or about August 27, 2003. The Submission Agreement of Respondent Self was signed on or about August 29, 2003.

**CASE SUMMARY**

Claimant Williams alleged that Respondents induced him to purchase units of FT Worldwide Wireless unit investment trust to his detriment.

Respondents denied the material allegations of the Statement of Claim, alleging that Respondent financial advisor made a recommendation to Claimant Williams that Claimant accepted.

Respondents also asserted the affirmative defense that the claim should be dismissed under the Illinois Statute of Limitations.

### **RELIEF REQUESTED**

Claimant requested entry of an award for compensatory damages in the amount of \$1,600.00.

Respondents requested that the Panel enter an award in their favor and against claimant, as well as expungement of the CRD record of Respondent Self.

### **OTHER ISSUES CONSIDERED & DECIDED**

The parties have agreed that the Stipulated Award in this matter may be executed in counterpart copies. The parties have agreed to receive conformed copies of the award while the originals remain on file with the NASD Dispute Resolution (the "NASD").

By letter dated April 22, 2004, respondents advised the NASD that the matter was settled and that the parties were entering into a Stipulation to Dismiss and Expunge Registered Representative's Record. The parties entered into a Stipulation to Dismiss and Expunge Registered Representative's Record as of April 27, 2004.

### **AWARD**

After considering the parties submissions and representations, but without making any findings of fact or conclusions of law, the undersigned arbitrator orders as follows:

1. The matter is settled (subject to any conditions of a settlement agreement) between the parties;
2. The undersigned arbitrator hereby orders that all information regarding this arbitration case be expunged from the records of Brandon Self (CRD # 3252616) in the Central Registration Depository ("CRD") of the NASD;
3. The parties shall bear their own costs, subject to any settlement agreement, except for those specifically included herein; and
4. Any relief not stated as part of this award or part of any settlement agreement is denied.

### **FEES**

Pursuant to the Code, the following fees are assessed:

#### **Filing Fees**

NASD Dispute Resolution will retain or collect the non-refundable filing fees for each claim:

Initial claim filing fee = \$25.00

#### **Member Fees**

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. In this matter, the member firm(s) is H&R Block Financial Advisors, Inc. f/k/a Olde Discount Corporation.

Member surcharge	\$	150.00
Total Member Fees	\$	150.00

#### **Forum Fees and Assessments**

The Arbitration Panel assesses forum fees for each hearing session conducted. A hearing session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), that lasts four (4) hours or less. Fees associated with these proceedings are:

1 Pre-hearing session(s) with Panel	x	50.00	\$	50.00
	April 5, 2004	1 session		
Total Forum Fees			\$	50.00

The Arbitration Panel has assessed \$25.00 of the forum fees to Earl Williams.

The Arbitration Panel has assessed \$25.00 of the forum fees jointly and severally to H&R Block Financial Advisors, Inc. f/k/a Olde Discount Corporation and Brandon Self.

### **Fee Summary**

Claimant, Earl Williams, is liable for:

Initial Filing Fee	= \$	25.00
Retained Hearing Session Deposit	= \$	25.00

**RECEIVED**  
SEP 22 2005

NASD Dispute Resolution  
Arbitration No. 03-05314  
Stipulated Award Page 4 of 4

<u>Forum Fees</u>	= \$	25.00
Total Fees	= \$	75.00
<u>Less payments</u>	= \$	-75.00
Balance Due NASD Dispute Resolution	= \$	0.00

Respondent, H&R Block Financial Advisors, Inc. f/k/a Olde Discount Corporation, is liable for:

Member Fees	= \$	150.00
Total Fees	= \$	150.00
<u>Less payments</u>	= \$	-1,025.00
Balance refunded by NASD Dispute Resolution	= \$	- 875.00

Respondents, H&R Block Financial Advisors, Inc. f/k/a Olde Discount Corporation and Brandon are jointly and severally liable for:

<u>Forum Fees</u>	= \$	25.00
Total Fees	= \$	25.00
<u>Less payments</u>	= \$	-25.00
Balance Due NASD Dispute Resolution	= \$	0.00

**All balances are due to NASD Dispute Resolution**

**ARBITRATOR**

Gregory G. Gocek - Public Arbitrator, Presiding Chair

*Gregory G. Gocek*

Gregory G. Gocek  
Public Arbitrator, Presiding Chair

*9/21/05*

Signature Date

*9/27/05*

Date of Service (For NASD office use only)