

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-05607

American Express Financial Advisors, Inc., Claimant v. David W. Cohn, Respondent.

ATTORNEYS:

Claimant, American Express Financial Advisors, Inc., ("Claimant"), appeared through its representative, Michael Northrop, Minneapolis, MN.

Respondent, David W. Cohn, ("Respondent"), appeared pro se, Saint Joseph, MI.

NATURE OF DISPUTE: Member v. Customer

DATE FILED: July 30, 2003

CASE SUMMARY: Claimant alleged that Respondent breached his contract by failing to pay his excess common stock dividends balance. Claimant maintained that due to Respondent's action, the corporation suffered financial losses.

Claim Data

Claim: \$2,329.00
Filing Fees: \$350.00
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$175.00
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 the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay to the Claimant \$175.00 as reimbursement of one-half of the filing fee.

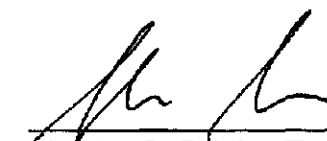
OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant, American Express Financial Advisors, Inc. has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

Sheldon I. Saitlin, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Sheldon I. Saitlin, 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.



Sheldon I. Saitlin, Esq.

1/2/03

Signature Date

January 9, 2004

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