

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION
CASE: 03-07521

George H. Dornblazer MD, PA FBO George H. Dornblazer PSP, Claimant v. Merrill Lynch
Pierce Fenner & Smith, Inc., Respondent.

ATTORNEYS:

For Claimant, George H. Dornblazer MD, PA FBO George H. Dornblazer PSP, ("Claimant"),
appeared Wm. Jemison Mims, Jr., Esq., of the firm Levin, Papantonio, Thomas, Mitchell,
Echsner & Proctor, P.A., Pensacola, FL.

For Respondent, Merrill Lynch Pierce Fenner & Smith, Inc., ("Respondent"), appeared Drew
D. Dropkin, Esq., of the firm Sutherland, Asbill, & Brennan, LLP, Atlanta, GA.

NATURE OF DISPUTE: Customer v. Member

DATE FILED: October 20, 2003

CASE SUMMARY: Claimant alleged that Respondent breached its fiduciary duty, and
negligently, intentionally and/or recklessly misrepresented and/or omitted material facts that were
necessary to make informed investment decisions in his portfolio. Claimant additionally alleged
that Respondent violated Blue Sky Laws. Claimant's claim involved Cisco Systems and Ariba
Inc. stock. Claimant maintained that due to Respondent's actions, his account suffered financial
losses.

Claim Data

Claim: \$24,755.79
Punitive: Unspecified
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

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

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute
Resolution the \$425.00 Member Surcharge previously invoiced.

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ARBITRATOR

Benjamin F. Richards, Jr. - Sole Public/Non-Public Arbitrator

AFFIRMATION

I, Benjamin F. Richards, Jr., 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.

Benjamin F. Richards, Jr.

Benjamin F. Richards, Jr.

23 June 2004

Signature Date

June 24, 2004
Date of Service (For NASD-DR office use only)