

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-03907

John L. Schoderbek, Claimant vs. Wachovia Securities, LLC, and Erin L. Cockman,
Respondents

ATTORNEYS:

Claimant John L. Schoderbek ("Claimant") appeared through Joanne S. Rogol, Power of Attorney, Charlottesville, VA.

For Respondents Wachovia Securities, LLC and Erin L. Cockman (collectively "Respondents") appeared Andrew W. Davitt, Esq., of the firm Marshall, Dennehy Warner, Coleman & Goggin, Philadelphia, PA.

NATURE OF DISPUTE: Customer v. Member and Associated Person.

DATE FILED: June 1, 2004.

CASE SUMMARY: Claimant alleged that Respondents placed him in investments that were unsuitable to his needs and objectives. Claimant maintained that due to Respondents' actions, his account suffered losses.

Claim Data

Claim: \$15,000.00
Interest: \$3,000.00
Cost: Unspecified
Claim: Return of original investment

Award Data

Award: \$.00
Interest: \$.00
Cost: \$212.50
Claim: \$.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 other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 5) Respondent Wachovia Securities, LLC is liable and shall pay Claimant \$106.25 as reimbursement of 25% of the filing fee. 6) Respondent Erin L. Cockman is liable and shall pay Claimant \$106.25 as reimbursement of 25% of the filing fee.

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

OTHER ISSUES: Respondent's motion to dismiss is denied. Upon consideration of the claim and Respondents' preliminary answer, legal analysis and exhibits, the Arbitrator rules in favor of the Respondent. Respondent's request for an expungement order is denied.

Page Two
Award 04-03907

Kimberly G.W. Day-Lewis, J.D.

Sole Public Arbitrator

AFFIRMATION

I, Kimberly G.W. Day-Lewis, J.D., 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.

Kimberly G.W. Day-Lewis
Kimberly G.W. Day-Lewis, J.D.

4/19/2004
Signature Date

December 27, 2004
Date of Service (For NASD-DR office use only)