

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

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CASE: 04-04166

Delores F. Heilman IRA, Claimant v. Intersecurities, Inc. and Brian P. Connor, Respondents

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**ATTORNEYS:**

Claimant Delores F. Heilman IRA ("Claimant") appeared *pro se*, Englewood, FL.

For Respondents Intersecurities, Inc. and Brian P. Connor (collectively "Respondents") appeared Adrienne L. Hoehner, in-house counsel, Intersecurities, Inc., Clearwater, FL.

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

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**DATE FILED:** June 10, 2004.

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**CASE SUMMARY:** Claimant alleged that Respondents did not follow Claimant's instructions when they failed to immediately transfer her IRA account when requested due to lack of authorization. Claimant maintained that due to Respondents' actions, her account suffered losses. Claimant's claim involved an annuity and mutual funds.

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**Claim Data**

Claim: \$11,874.98  
Punitive: \$11,874.98  
Interest: \$.00  
Filing Fees: \$.00

**Award Data**

Award: \$11,448.00  
Punitive: \$.00  
Interest: 3% p.a. from 7/1/02-12/30/04  
Filing Fees: \$425.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent Brian P. Connor is liable for and shall pay to Claimant \$8,586.00, plus interest at the rate of 3% per annum from July 1, 2002 through December 30, 2004. 2) Respondent Intersecurities, Inc. is liable for and shall pay to Claimant \$2,862.00, plus interest at the rate of 3% per annum from July 1, 2002 through December 30, 2004. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondent Brian P. Connor is liable for and shall pay to Claimant \$318.75 as reimbursement of 75% of the filing fee. 7) Respondent Intersecurities, Inc. is liable for and shall pay to Claimant \$106.25 as reimbursement of 25% of the filing fee.

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

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Award 04-04166

**James W. Robinson, PhD - Sole Public Arbitrator**

## AFFIRMATION

I, James W. Robinson, PhD, 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.

~~James W. Robinson, PhD~~

Signature Date

January 31, 2005

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