

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-04288

J. Robert Herring, Claimant v. Oxford Financial Group, Respondent

ATTORNEYS:

Claimant, J. Robert Herring, ("Claimant"), appeared *pro se*, Pasadena, TX.

Respondent, Oxford Financial Group, ("Respondent"), appeared through its in-house counsel, Thomas John Cloud, Jr., Houston, TX.

NATURE OF DISPUTE: Customer vs. Terminated Member.

DATE FILED: June 29, 2004.

CASE SUMMARY: Claimant alleged that Respondent lost his request and failed to transfer 50,000 shares of Cyntech Technologies stock. Claimant further alleged that Respondent currently maintains a restrictive legend over these shares. Claimant additionally alleged that this previously occurred with 36,000 shares of Cyntech Technologies, which resulted in \$475.20 of his own out of pocket expenses to remedy the situation.

Claim Data

Claim: \$25,000.00

Filing Fees: Unspecified

Other: \$475.20

Award Data

Award: \$.00

Filing Fees: \$425.00

Other: \$475.20

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent shall remove the restrictive legend from the 50,000 shares of Cyntech Technologies stock and transfer them to Claimant. 2) Respondent is liable and shall pay Claimant \$475.20 for his out of pocket expenses of acquiring a certificate for 36,000 shares of Cyntech Technologies stock. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$425.00 as reimbursement of the filing fee.

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

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ARBITRATOR

Jerry C. Prestridge, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Jerry C. Prestridge, 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.


Jerry C. Prestridge, Esq.


Signature, Date,

February 10, 2005

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