

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-06070

Robert J. Walters, Claimant v. Sterling Financial Investment Group, Inc. and Anthony DaCosta, Respondents

ATTORNEYS:

Claimant, Robert J. Walters, ("Claimant") appeared *Pro Se*, Anaheim, CA.

Respondents, Sterling Financial Investment Group, Inc. and Anthony DaCosta, (collectively "Respondents"), appeared through in-house counsel Marc L. Abramson, Esq., Boca Raton, FL.

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

DATE FILED: August 26, 2004.

CASE SUMMARY: Claimant alleged that Respondent engaged in unauthorized trading of his account. Claimant maintains that as a result of Respondents' actions, his account suffered financial losses.

Claim Data

Claim: \$20,925.11

Punitive: \$4,000.00

Attorney Fees: Unspecified

Filing Fees: Unspecified

Other: Unspecified

Award Data

Award: \$.00

Punitive: \$.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 Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for attorney fees 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) The Respondents' request for expungement are denied because the standards of NASD Rule 2130 are not clearly established.

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

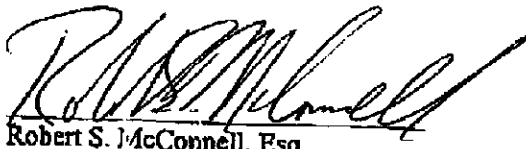
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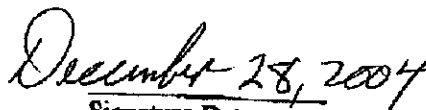
ARBITRATOR

Robert S. McConnell, Esq. - Sole Public Arbitrator

AFFIRMATION

I, Robert S. McConnell, 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.


Robert S. McConnell, Esq.


Signature Date

December 29, 2004
Date of Service (For NASD-DR office use only)