

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

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CASE: 04-06929

Robert L. Albrecht and Janet Albrecht, (Claimants) vs. NatCity Investment, Inc.,  
(Respondent)

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**ATTORNEYS:**

For Claimants appeared Eugene J. Casey, CPA, Farmington Hills, MI.

For Respondent appeared in-house counsel Curtis M. Jacobs, Esq., Louisville, KY.

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**NATURE OF DISPUTE:** Customer vs. Member

**DATE FILED:** October 1, 2004

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**CASE SUMMARY:** Claimants alleged that Respondent breached their contract and negligently handled their account. Claimants furthered alleged suitability and incorrect quantity. Claimants maintained that due to Respondent's actions, they suffered financial losses. Claimants' claim involved mutual funds.

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**Claim Data**

Claim: \$10,000.00  
Filing Fees: Unspecified

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**Award Data**

Award: \$3,200.00  
Filing Fees: \$162.50

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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 is liable and shall pay to the Claimants \$3,200.00. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimants deposited previously. 4) Respondent is liable and shall pay Claimants \$162.50 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

Page Two  
Award 04-06929

Gerald Edward Patera

Sole Public Arbitrator

AFFIRMATION

I, Gerald Edward Patera, 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.

  
Gerald Edward Patera

8/24/2005  
(Signature Date)

August 25, 2005  
Date of Service (For NASD-DR office use only)