

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-07115

George W. Harvey and Michelle L. Harvey (Claimant) vs. Transamerica Financial Advisors, Inc. (Respondent)

ATTORNEYS:

Claimant George W. Harvey ("Claimant") appeared *pro se*, Westminster, CA.

For Respondent Transamerica Financial Advisors, Inc. ("Respondent") appeared Joseph C. Coates, III, Esq., of the firm Greenberg Traurig, P.A., West Palm Beach, FL.

NATURE OF DISPUTE: Customer vs. Member.

DATE FILED: October 8, 2004.

CASE SUMMARY: Claimant alleged that Respondent did not follow his instructions when it failed to liquidate the account in question at his request. Claimant maintained that due to Respondent's actions, the account suffered losses. Claimant's claim involved shares of common stock.

Claim Data	Award Data
Claim: \$2,192.66	Award: \$0.00
Punitive: \$20,000.00	Punitive: \$0.00
Interest: \$25.00	Interest: \$0.00
Filing Fees: \$425.00	Filing Fees: \$212.50
Other: \$315.71	Other: \$0.00

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 interest 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 is liable and shall pay Claimant \$212.50 as reimbursement of one-half 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: Although a joint account is in dispute, the Arbitrator allowed Claimant George Harvey to appear as the sole Claimant in this case.

Page Two
Award 04-07115

Laurie E. Law, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Laurie E. Law, 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.

Laurie E. Law
Laurie E. Law, Esq.

10-10-2005
Signature Date

June 15, 2005
Date of Service (For NASD-DR office use only)