

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-07847

Iris Asbury, (Claimant) vs. UBS Financial Services, Inc., (Respondent)

ATTORNEYS:

For Claimant appeared William J. King, Esq., of Law Offices of William J. King, Irvine, CA.

For Respondent appeared in-house counsel Ted W. Lieu, Esq., Los Angeles, CA.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: November 15, 2004

CASE SUMMARY: Claimant alleged that Respondent breached their contract, misrepresented facts and negligently handled her account. Claimant further alleged that Respondent breached its fiduciary duty and covenant of good faith. Claimant maintained that due to Respondent's actions, she suffered financial losses. Claimant's claim involved various common stock.

Claim Data	Award Data
Claim: \$21,786.00	Award: \$.00
Punitive: \$2,179.00	Punitive: \$.00
Interest: \$1,470.73	Interest: \$.00
Attorney Fees: \$3,880.00	Attorney Fees: \$.00
Filing Fees: \$425.00	Filing Fees: \$.00
Other: \$467.00	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 attorney fees are denied. 3) All requests for punitive damages are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the claimant deposited previously.

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

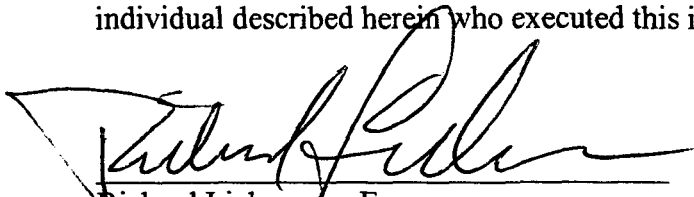
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Award 04-07847

Richard Lieberman, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard Lieberman, 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.


Richard Lieberman, Esq.

8/1/05
(Signature Date)

August 10, 2005
Date of Service (For NASD-DR office use only)