

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-08729

Alan D. Brewer and Barbara T. Brewer, (Claimants) vs. Michael M. Duprez (Respondent)

ATTORNEYS:

Claimants appeared pro se, Franklin, TN.

Respondent appeared pro se, Franklin, TN.

NATURE OF DISPUTE: Customers vs. Associated Person

DATE FILED: December 22, 2004

CASE SUMMARY: Claimants alleged misrepresentations and failure to disclose material facts regarding the switching of investments. Claimants maintained that because of these actions, their account suffered losses. Claimants' claim involves various annuities.

Claim Data

Claim: \$4,261.02
Filing Fees: \$175.00

Award Data

Award: \$.00
Filing Fees: \$.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 claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$175.00 filing fee that the claimants deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, USAllianz Securities, Inc. has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

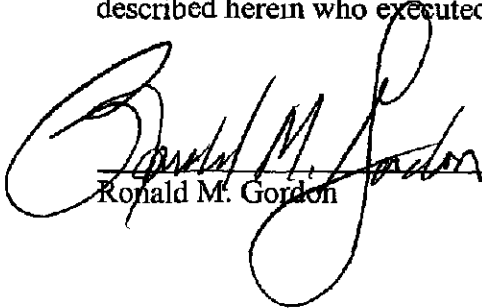
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Award 04-08729

Ronald M. Gordon

Sole Public Arbitrator

AFFIRMATION

I, Ronald M. Gordon, 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.



Ronald M. Gordon



(Signature Date)

June 23, 2005
Date of Service (For NASD-DR office use only)