

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-00639

Beth Klar, (Claimant) vs. UBS Financial Services Inc., (Respondent)

ATTORNEYS:

For Claimant appeared Gregory S. Tendrich, Esq., of the firm Law Office of Gregory S. Tendrich, P.A., Boca Raton, FL.

For Respondent appeared in-house counsel Edward Durkin, Esq., Weehawken, NJ.

NATURE OF DISPUTE: Customer v. Member

DATE FILED: January 21, 2005

CASE SUMMARY: Claimant alleged that because of Respondent's negligence and improper advice, she was forced to pay interest and penalties in addition to unexpected state and federal taxes. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved various annuities.

Claim Data

Claim: \$16,814.74
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: \$.00
Other: \$11,200.00

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$106.25
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 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 \$106.25 as reimbursement of one quarter 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.


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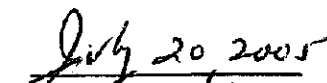
Bernard Herman

Sole Public Arbitrator

AFFIRMATION

I, Bernard Herman, 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.


Bernard Herman


(Signature Date)


Date of Service (For NASD-DR office use only)