

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-00738

Curtis J. Glasgow, Jr. and Mary H. Glasgow, (Claimants) vs. Banc of America Investment Services, Inc. and Molly Scovel, (Respondents)

ATTORNEYS:

Claimants appeared pro se, Lebanon, TN.

For Respondents appeared in-house counsel, Matthew S. Diggins, Esq., New York, NY.

NATURE OF DISPUTE: Customers v. Member and Associated Person

DATE FILED: February 8, 2005

CASE SUMMARY: Claimants alleged that Respondents misrepresented material facts regarding their investments and negligently handled their account. Claimants maintained that due to Respondents' actions, they suffered financial losses. Claimants' claim involved mutual funds, including AIM, Nation Marsico and Van Kempen.

Claim Data

Claim: \$16,000.00

Award Data

Award: \$.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 the Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Banc of America Investment Services, Inc., has not paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

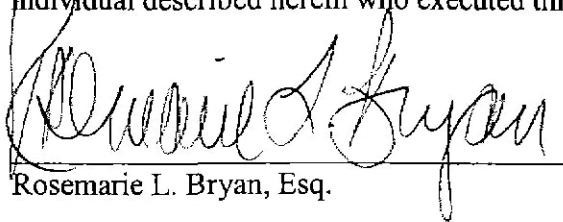
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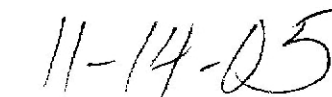
Rosemarie L. Bryan, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Rosemarie L. Bryan, 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.


Rosemarie L. Bryan, Esq.


(Signature Date)

NOVEMBER 28, 2005
Date of Service (For NASD-DR office use only)