

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-01142

Aaron W. Steffens and Jennifer Steffens, (Claimants) vs. First Command Financial Planning, Inc., (Respondent)

ATTORNEYS:

Claimant appeared pro se, Montgomery, AL.

For Respondent appeared Ethan H. Cohen, Esq., Atlanta, GA.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: February 23, 2005

CASE SUMMARY: Claimants alleged that due to Respondent's misleading sales scripts, comparisons and omissions resulted in financial losses. Claimants' claim involved mutual funds.

ARBITRATOR'S REPORT: Claimants' claims from 8/94-2/21/99 are barred pursuant to NASD Rule 10304, and are dismissed. Claimants' claims from 2/21/99-8/04 are within the 6-year limit of NASD Rule 10304 and are not barred. The Arbitrator has ruled on these claims only.

Claim Data

Claim: \$856.36
Interest: Unspecified

Filing Fees: Unspecified

Award Data

Award: \$428.18
Interest: granted at the
statutory rate from
12/1/05-date of full payment
of award.
Filing Fees: \$50.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimants \$428.18. 2) Respondent is liable and shall pay to the Claimants interest at the statutory rate per annum from December 1, 2005 until date of full payment of the award. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$50.00 filing fee that the Claimants deposited previously. 5) Respondent is liable and shall pay Claimants \$50.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

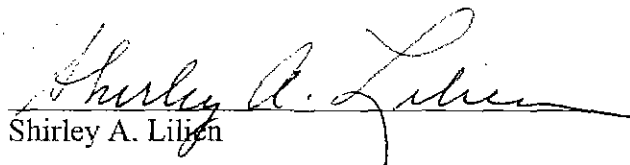
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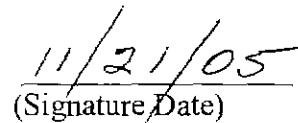
Shirley A. Lilien

Sole Public Arbitrator

AFFIRMATION

I, Shirley A. Lilien, 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.


Shirley A. Lilien


(Signature/Date)


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