

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

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CASE: 05-02107

George Dawson, (Claimant) vs. Thomas E. Jandt, Tradeway Securities, Inc. and Grad Products, (Respondents)

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**ATTORNEYS:**

For Claimant appeared Edward W. Russet, III, Esq., Attorney at Law, Laguna Hills, CA.

Respondent Tradeway Securities, Inc. did not submit an Answer to the Statement of Claim.

Respondent Thomas E. Jandt appeared pro se, Trabuco Canyon, CA.

For Respondent Grad Products appeared President/CEO Eric Perkowski, Dana Point, CA.

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**NATURE OF DISPUTE:** Customer v. Terminated Member, Associated Person and Non-Member

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**DATE FILED:** April 19, 2005

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**CASE SUMMARY:** Claimant alleged that Respondents omitted material facts regarding the investments that they placed him in. Claimant further alleged breach of fiduciary duty, negligence and failure to supervise. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved various common stock.

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**Claim Data**

Claim: \$25,000.00  
Punitive: Unspecified  
Interest: Unspecified  
Filing Fees: Unspecified  
Other: Unspecified

**Award Data**

Award: \$.00  
Punitive: \$.00  
Interest: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**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 Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for punitive damages 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.

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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that Respondent Tradeway Securities, Inc. was served notice of the Statement

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of Claim and Notification of Arbitrator by regular mail, and Overdue Notice by certified mail, and is therefore bound by the arbitrator's ruling and determination.

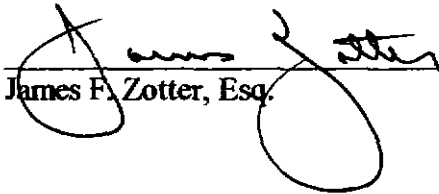
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James F. Zotter, Esq.

Sole Public Arbitrator

AFFIRMATION

I, James F. Zotter, 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.

  
James F. Zotter, Esq.

11/11/05  
(Signature Date)

November 18, 2005  
Date of Service (For NASD-DR office use only)