

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-02642

Gail A. Andre, (Claimant) vs. Cristobal Guillen, (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Vernon Hills, IL.

Respondent appeared *pro se*, Seattle, WA.

NATURE OF DISPUTE: Customer vs. Associated Person

DATE FILED: May 16, 2005

CASE SUMMARY: Claimant alleged that Respondent breached his fiduciary duty, placed him in unsuitable investments and misrepresented facts regarding investments. Claimant further alleged churning. Claimant maintained that due to Respondent's actions, she suffered financial losses. Claimant's claim involved common stock and mutual funds.

ARBITRATOR'S REPORT: Based upon pleadings and other documents provided under the uniform submission agreement and the additional documentary information from the parties pursuant to my February, 2006 request, the Claimant failed to prove by a more likely than not standard of proof, her "churning" claim and "margin account" suitability claim against the Respondent.

Claim Data

Claim: \$24,938.00
Filing Fees: \$425.00
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$.00
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 the Claimant 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 Claimant deposited previously.

OTHER FEES: Pursuant to Rule 10333 of the Code, Gunn Allen Financial, Inc. has not paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

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Award 05-02642

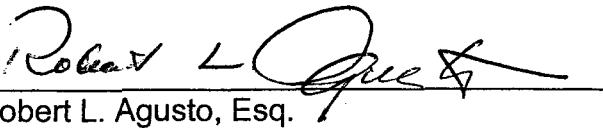
Robert L. Agosto, Esq.

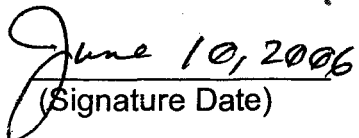
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Sole Public Arbitrator

AFFIRMATION

I, Robert L. Agosto, 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.


Robert L. Agosto, Esq.


(Signature Date)

June 22, 2006
Date of Service (For NASD-DR office use only)