

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

---

CASE: 05-05149

Grace Ruth Capo, (Claimant) vs. Wells Fargo Investments, LLC and Ashley Morris,  
(Respondents)

---

**ATTORNEYS:**

Claimant appeared pro se, Las Vegas, NV.

For Respondents appeared in-house counsel Thomas F. Kopshever, Esq., San Francisco, CA.

---

**NATURE OF DISPUTE:** Customer v. Member and Associated Person

---

**DATE FILED:** September 29, 2005

---

**CASE SUMMARY:** Claimant alleged that Respondents misrepresented facts regarding investments and placed her in investments that were unsuitable for her needs. Claimant further alleged failure to supervise. Claimant's claim did not specify any securities products.

---

**Claim Data**

Claim: \$14,000.00  
Interest: \$3,720.00  
Filing Fees: \$.00

**Award Data**

Award: \$.00  
Interest: \$.00  
Filing Fees: \$425.00

---

**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 requests for interest are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 5) Respondents are jointly and severally liable and shall pay Claimant \$425.00 as reimbursement of the filing fee.

---

**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent, Wells Fargo Investments, LLC, has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Page Two

Award 05-05149.

Laurel Littman Gothelf, MPH

Sole Public Arbitrator

## AFFIRMATION

I, Laurel Littman Gothelf, MPH, 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.

Laurel Littman Gothelf, MPH

2-6-06  
(Signature Date)

**February 15, 2006**

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