

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-05190

Zachary Fromberg, (Claimant) vs. Wachovia Securitices, LLC., (Respondent)

ATTORNEYS:

Claimant appeared *pro se*, Chevy Chase, MD.

For Respondent appeared in-house counsel, Demian J. Betz, Esq., Richmond, VA.

NATURE OF DISPUTE: Customer vs. Member

DATE FILED: October 3, 2005

CASE SUMMARY: Claimant alleged that Respondent breached its fiduciary duty. Claimant further alleged breach of contract. Claimant maintained that due to Respondent's actions, he suffered financial losses. Claimant's claim involved common stock, including FRUTF stock.

Claim Data

Claim: \$2,500.00

Interest: \$.00

Filing Fees: \$.00

Award Data

Award: \$1,802.20

Interest: granted at the rate of 6% per annum from 9/7/05-date of payment of award.

Filing Fees: \$75.00

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 Claimant \$1,802.20. 2) Respondent is liable and shall pay to the Claimant interest at the rate of 6% per annum from September 7, 2005 until the date of payment of the award. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$75.00 filing fee that the Claimant deposited previously. 5) Respondent is liable and shall pay Claimant \$75.00 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.

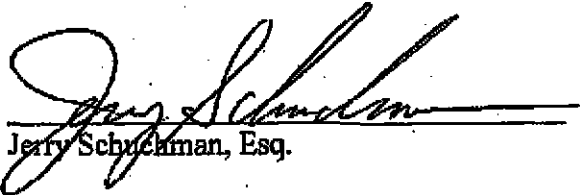
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Award 05-05190

Jerry Schuchman, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Jerry Schuchman, 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.


Jerry Schuchman, Esq.

4/19/2006
(Signature Date)

April 21, 2006

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