

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 05-06026

Ronna Markowitz and Harvey West, as Trustees for the Ann Shesol Trust (Claimants) vs.
Wachovia Securities, LLC, (Respondent)

ATTORNEYS:

For Claimants appeared Anthony Hartman, Esq., of the firm Hermann, Cahn &
Schneider, LLP, Cleveland, OH.

For Respondent appeared in-house counsel Andrew R. Park, Esq., Richmond, VA.

NATURE OF DISPUTE: Customers vs. Member

DATE FILED: November 23, 2005

CASE SUMMARY: Claimants alleged that Respondent breached its fiduciary duty and negligently handled their account. Claimants maintained that due to Respondent's actions, the trust suffered financial losses. Claimants' claim did not specify any securities products.

Claim Data

Claim: \$10,194.98
Punitive: \$14,805.02
Filing Fees: \$.00

Award Data

Award: \$10,194.98
Punitive: \$.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) Respondent is liable and shall pay to the Claimants \$10,194.98. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimants deposited previously. 5) Respondent is liable and shall pay Claimants \$425.00 as reimbursement of the filing fee.

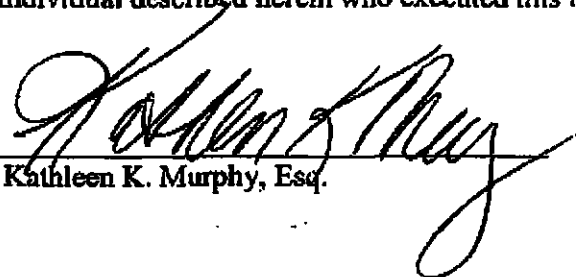
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

Kathleen K. Murphy, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Kathleen K. Murphy, 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.


Kathleen K. Murphy, Esq.


(Signature Date)

May 4, 2006
Date of Service (For NASD-DR office use only)