

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

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CASE: 05-06668

Camille Santora, (Claimant) vs. Amy K. Scott and Argus Securities, Inc., (Respondents)

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**ATTORNEYS:**

For Claimant appeared Rick A. Buchwalter, Esq., Clearwater, FL.

Respondent Amy K. Scott appeared *pro se*, New Port Richey, FL.

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

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

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**DATE FILED:** December 28, 2005

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**CASE SUMMARY:** Claimant alleged that Respondents breached their fiduciary duty by placing her in investments that were unsuitable for her needs. Claimant further alleged breach of contract and failure to supervise. Claimant maintained that due to Respondents' actions, she suffered a financial loss. Claimant's claim involved annuities and mutual funds.

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**ARBITRATOR'S REPORT:** See attached Exhibit A.

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**Claim Data**

Claim: \$25,000.00  
Interest: Unspecified  
Attorney Fees: Unspecified  
Filing Fees: \$.00

**Award Data**

Award: \$.00  
Interest: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$212.50

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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 attorney fees are denied. 3) All requests for interest 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. 6) Respondents are jointly and severally liable and shall pay Claimant \$212.50 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent Argus Securities, Inc. has not been invoiced for the \$425.00 Member Surcharge by NASD Dispute Resolution because it has not submitted a Statement of Answer.

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

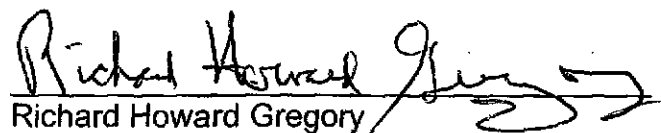
Page Two  
Award 05-06668

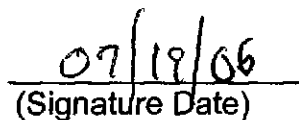
Richard Howard Gregory

Sole Public Arbitrator

AFFIRMATION

I, Richard Howard Gregory, 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.

  
Richard Howard Gregory

  
(Signature Date)

July 28, 2006

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

# EXhibit A.

Case #05-06668 Addendum to Dispute Resolution Simplified Case Check List Item #3

The Arbitrator, Richard H. Gregory, has studied all of the documents submitted in the case which include Camile Santora's Statement of Claim and Respondent Ami Scott's Answer.

After repeated readings the Arbitrator finds that Counts I, II, III, IV and V of the Claim are without merit and substance while Respondent's Answers to each of the Counts are substantive and compelling. Therefore, the Arbitrator denies Counts I through V of the Claim.

The documents received by the Arbitrator do not include an answer from Respondent Argus Securities. Having denied all the Counts of the Claim the Arbitrator feels the Respondent Argus is relieved from the Failure to Supervise claim.

The above are the Arbitrator's reasons for Dismissing The Case In Its Entirety.