

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

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CASE: 06-00688

Thomas M. Kelty, (Claimant) vs. H&R Block Financial Advisors, Inc.,  
(Respondent)

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**ATTORNEYS:**

Claimant appeared *pro se*, Zweibruecken, Germany.

For Respondent appeared in-house counsel, Lisa S.Fildes, Esq., Detroit, MI.

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**NATURE OF DISPUTE:** Customer vs. Member

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**DATE FILED:** February 7, 2006

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**CASE SUMMARY:** Claimant alleged that Respondent placed him in investments that were unsuitable for his needs, omitted material facts regarding these investments and failed to supervise. Claimant maintained that due to Respondent's actions, he suffered a financial loss. Claimant's claim involved common stock.

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**Claim Data**

Claim: \$11,000.00  
Punitive: \$11,000.00  
Attorney Fees: Unspecified  
Filing Fees: Unspecified  
Interest: Unspecified

**Award Data**

Award: \$.00  
Punitive: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$212.50  
Other: \$.00

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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 punitive damages are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously. 7) Respondent is 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 has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

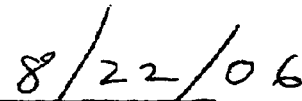
Benjamin D. Krause, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Benjamin D. Krause, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument, which is my award.

  
Benjamin D. Krause, Esq.

  
(Signature Date)

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