

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-01935

Tercila Giovannini, claimant vs. Christopher Kilroy and Nationsbanc Investments, Inc., respondents.

ATTORNEYS:

Claimant appeared Pro Se, Boca Raton, FL.

Respondent Christopher Kilroy appeared Pro Se, Denver, CO.

For Respondent Nationsbanc Investments, Inc., appeared Richard B. Warren, Kelley & Warren, P.A., West Palm Beach, FL.

DATE FILED: April 27, 1999

CASE SUMMARY: Claimant alleged respondent Christopher Kilroy did not follow her direct selling orders on the date given resulting in a loss. After waiting three months, respondent Nationsbanc Investments, Inc. informed claimant that they would not reimburse her for the loss.

Claim Data

Claim: \$9,000.00

Filing Fee: \$.00

Award Data

Award: \$500.00

Filing Fee: \$325.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$500.00. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondents are jointly and severally liable and shall pay claimant \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Nationsbanc Investments, Inc. has paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 99-01935

AFFIRMATION

I, Michael J. Feehan, 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.



Michael J. Feehan, Esq.

October 2, 2000
Date of award