

N.A.S.D. REGULATION AWARD
NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 99-02665

Denn C. Lemasurier, claimant vs. American Savings Bank n/k/a Washington Mutual Bank and W.M. Financial Services, Inc., respondents.

ATTORNEYS:

Claimant Denn C. Lemasurier ("Claimant"), appeared Pro Se., Moorpark, CA.

For Respondents American Savings Bank n/k/a Washington Mutual Bank and W.M. Financial Services, Inc. (collectively "Respondents"), Susan L. Formaker, Esq., Office of General Counsel, Washington Mutual Bank, Chatsworth, CA.

DATE FILED: 6/10/1999

CASE SUMMARY: Claimant alleged that Respondents mishandled his request to rollover two IRA accounts, and as a result he incurred financial loss.

Claim Data

Claim: \$6,163.06
Filing Fees: \$0.00

Award Data

Award: \$6,163.06
Filing Fees: \$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 \$6,163.06. 2) The \$325.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the Claimant, shall be retained by NASD Regulation, Inc. 3) 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 has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 99-02665

AFFIRMATION

I, Albert N. Greenfield, 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.


Albert N. Greenfield, Esq.

5-22-2000
Date of award