

Arbitration Decision Number: 2004-015391

New York Stock Exchange

In the matter of Arbitration Between:

Tonya M. Blankenship and Donte Jamael Bolden vs. Wachovia Securities, LLC

Attorneys:

For Claimant(s):

Jeffrey Musslewhite - Kingwood, TX

For Respondent(s):

Todd Ratner - Richmond, VA

Date Filed: 05/04/2004

First Scheduled: 03/23/2005

Decided: 05/2

Case Summary: Customer Claimants allege unsuitability, failure to hedge, failure to diversify, fiduciary duty, breach of contract, failure to supervise, violation of NASD and NYSE rules, and North Carolina Securities Act and the North Carolina Consumer Protection Act, in conjunction v mutual funds.

Product: Mutual Fund

Market: NYSE

Claim Data

	Claim
Claim:	\$165,000.00
Punitive:	UNSPECIFIED
Atty Fees:	UNSPECIFIED
Deposit:	\$750.00

Award Data

	Award
Award:	\$125,404.26
Punitive:	\$0.00
Atty Fees:	\$56,000.00
Costs:	\$6,500.00

Forum Fees: \$3,000.00

Case: Tonya M. Blankenship and Donte Jamael Bolden vs. Wachovia Securities, LLC

Docket: 2004-015391

Decision: The undersigned arbitrator(s) have decided and determined that in full and final settle between the parties that:

Respondent Wachovia Securities shall pay Claimants \$125,404.26 as an award on the claim; that reimburse Claimants for costs in the amount of \$6,500.00; that Respondent shall pay NYSE foru amount of \$3000.00; and that Respondent shall pay Claimants' attorney fees of \$56,000.00, pursi Carolina Securities Act and the North Carolina Consumer Protection Act.

Remarks:

The undersigned arbitrators hereby affirm that they have executed this instrument which i

Arbitrators: (D=Dissents)

Signatures:

Daniel W. Desmond

Gene F. Wilson

Wayne Parker

City: Charlotte

State: NC

Date: 05/20/2005

Docket#: 2004-01539

Sessions: 4

Hearing Dates:

04/05/2005(2)

04/06/2005(2)