

**Award
FINRA Dispute Resolution**

In the Matter of the Arbitration Between:

Claimant
Fredrick Griffin

Case Number: 13-00293

vs.

Respondent
Rockwell Global Capital LLC

Hearing Site: Tampa, Florida

Nature of the Dispute: Customer vs. Member

This case was decided by a majority-public panel.

REPRESENTATION OF PARTIES

For Claimant Fredrick Griffin: Bruce D. Oakes, Esq. and Richard B. Fosher, Esq.,
Oakes & Fosher, LLC, St. Louis, Missouri.

For Respondent Rockwell Global Capital LLC: Robert M. Bursky, Esq., Melville, New
York.

CASE INFORMATION

Statement of Claim filed on or about: January 25, 2013.
Fredrick Griffin signed the Submission Agreement: December 22, 2012.

Statement of Answer filed by Respondent on or about: April 16, 2013.
Rockwell Global Capital LLC signed the Submission Agreement: May 13, 2013.

CASE SUMMARY

Claimant asserted the following causes of action: violation of Florida's Securities and Investor Protection Act; breach of fiduciary duty; common law fraud; excessive trading; breach of contract; restitution; negligence; negligent misrepresentation; omission; and negligent supervision. The causes of action relate to Claimant's investments in unspecified securities.

Unless specifically admitted in its Answer, Respondent denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested compensatory damages of approximately \$200,000.00, attorneys' fees, interest, costs, punitive damages, and such

other and further relief the Panel deemed just and proper.

In the Statement of Answer, Respondent requested dismissal of the Statement of Claim with prejudice, assessment of all forum fees against Claimant, reimbursement of member fees, and such other and further relief the Panel deemed just and proper.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrators acknowledge that they have each read the pleadings and other materials filed by the parties.

The parties have agreed that the Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

After considering the pleadings, the testimony and evidence presented at the hearing, and the post-hearing submissions (if any), the Panel has decided in full and final resolution of the issues submitted for determination as follows:

1. Respondent is liable for fraud and violation of Florida Statutes §517.011 and shall pay Claimant compensatory damages in the sum of \$119,000.00 plus interest at the Florida statutory rate accruing from November 15, 2009, until the date of payment of the Award.
2. Respondent is liable for violation of Florida Statutes §768.72 and shall pay Claimant punitive damages in the sum of \$119,000.00 plus interest at the Florida statutory rate accruing from November 15, 2009, until the date of payment of the Award. The Panel found evidence of continued excess in fees being hidden from Claimant by Respondent while Respondent simultaneously assured Claimant that minimal or no commission charges were being assessed. This fraudulent conduct was the basis for the punitive damages awarded by the Panel.
3. Respondent is liable and shall pay Claimant attorneys' fees in the sum of \$55,200.00 pursuant to Florida Statutes §682.11.
4. Respondent is liable and shall pay Claimant costs in the sum of \$12,632.00.
5. Respondent is liable and shall pay Claimant the sum of \$300.00 representing reimbursement of the non-refundable portion of the claim filing fee previously paid by Claimant to FINRA Dispute Resolution.
6. Any and all claims for relief not specifically addressed herein are denied.

FEES

Pursuant to the Code of Arbitration Procedure, the following fees are assessed:

Filing Fees

FINRA Dispute Resolution assessed a filing fee* for each claim:

Initial Claim Filing Fee = \$ 1,425.00

**The filing fee is made up of a non-refundable and a refundable portion.*

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm(s) that employed the associated person(s) at the time of the event(s) giving rise to the dispute. Accordingly, as a party, Respondent is assessed the following:

Member Surcharge	= \$ 1,700.00
Pre-Hearing Processing Fee	= \$ 750.00
Hearing Processing Fee	= \$ 2,750.00

Adjournment Fees

Adjournments granted during these proceedings for which fees were assessed:

June 10-13, 2014, joint adjournment request = \$ 1,125.00

The Panel has assessed the entire \$1,125.00 adjournment fee to Respondent in accordance with the parties' agreement.

Discovery-Related Motion Fees

Fees apply for each decision rendered on a discovery-related motion.

Four (4) Decisions on discovery-related motions on the papers
with one (1) arbitrator @ \$200.00/decision = \$ 800.00
Respondent submitted four (4) discovery-related motions

Total Discovery-Related Motion Fees = \$ 800.00

The Panel has assessed the entire discovery-related motion fees of \$800.00 to Respondent.

Hearing Session Fees and Assessments

The Panel has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the arbitrator(s), including a pre-hearing conference with the arbitrator(s), that lasts four (4) hours or less. Fees associated with these proceedings are:

Nine (9) Hearing sessions @ \$1,125.00/session	= \$10,125.00
Hearing Dates:	
September 30, 2014	2 sessions
October 1, 2014	2 sessions
October 2, 2014	2 sessions
October 29, 2014	2 sessions
October 30, 2014	1 session

Total Hearing Session Fees = \$10,125.00

The Panel has assessed the entire hearing session fees of \$10,125.00 to Respondent.

Administrative Costs

Administrative costs are expenses incurred due to a request by a party for special services beyond the normal administrative services. These include, but are not limited to, additional copies of arbitrator awards, copies of audio transcripts, retrieval of documents from archives, interpreters, and security.

1. Respondent, arbitrator travel expenses = \$ 736.33

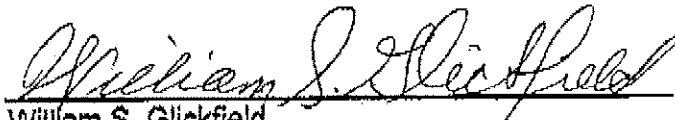
All balances are payable to FINRA Dispute Resolution and are due upon receipt.

ARBITRATION PANEL

William S. Glickfield	-	Public Arbitrator, Presiding Chairperson
William H. Fleece	-	Public Arbitrator
Arthur J. Zelenak, Sr.	-	Non-Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

Concurring Arbitrators' Signatures



William S. Glickfield
Public Arbitrator, Presiding Chairperson

11-24-14

Signature Date

William H. Fleece
Public Arbitrator

Signature Date

Arthur J. Zelenak, Sr.
Non-Public Arbitrator

Signature Date

November 26, 2014

Date of Service (For FINRA Dispute Resolution office use only)

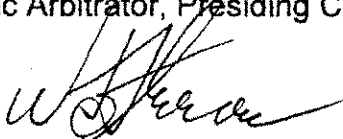
ARBITRATION PANEL

William S. Glickfield	-	Public Arbitrator, Presiding Chairperson
William H. Fleece	-	Public Arbitrator
Arthur J. Zelenak, Sr.	-	Non-Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

Concurring Arbitrators' Signatures

William S. Glickfield
Public Arbitrator, Presiding Chairperson



Signature Date

William H. Fleece
Public Arbitrator

11-24-2014
Signature Date

Arthur J. Zelenak, Sr.
Non-Public Arbitrator

Signature Date

November 26, 2014

Date of Service (For FINRA Dispute Resolution office use only)

ARBITRATION PANEL

William S. Glickfield	-	Public Arbitrator, Presiding Chairperson
William H. Fleece	-	Public Arbitrator
Arthur J. Zelenak, Sr.	-	Non-Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

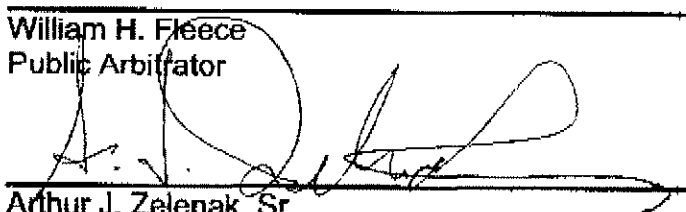
Concurring Arbitrators' Signatures

William S. Glickfield
Public Arbitrator, Presiding Chairperson

Signature Date

William H. Fleece
Public Arbitrator

Signature Date



Arthur J. Zelenak, Sr.
Non-Public Arbitrator

11-24-14

Signature Date

November 26, 2014

Date of Service (For FINRA Dispute Resolution office use only)