

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-00351

Fidelity Brokerage Services, Inc., claimant vs. James Dean Fraser, respondent.

ATTORNEYS:

For Claimant appeared Laurence K. Richmond, Esq., Quincy, MA.

Respondent, James Dean Fraser, did not respond to the Statement of Claim.

DATE FILED: January 27, 2000

CASE SUMMARY: Claimant alleged that respondent's account reflected a deficit which was due to purchases and sellouts of stocks and warrants. Claimant further alleged that the check that was deposited into respondent's account was returned due to insufficient funds, and that an outstanding balance still remains.

Claim Data

Claim: \$25,000.00

Interest: Unspecified

Atty Fees: Unspecified

Filing Fees: Unspecified

Award Data

Award: \$25,000.00

Interest: @ 6.5% per annum from
12/19/97 to payment of award

Atty Fees: \$2,500.00

Filing Fees: \$1,050.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$25,000.00. 2) Respondent is liable and shall pay to the claimant \$2,500.00 in attorney fees pursuant to claimant's request. 3) The \$1050.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimant \$1,050.00 as reimbursement of the filing fee.

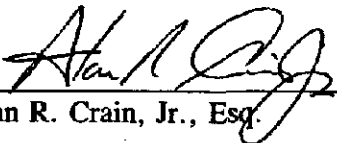
OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Dispute Resolution, the arbitrator determined that respondent was served notice of the Statement of Claim by regular mail, Overdue Notice, Notification of Arbitrator, and re-service of the Statement of Claim by certified mail, and is therefore bound by the arbitrator's ruling and determination.

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AFFIRMATION

I, Alan R. Crain, Jr., 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.


Alan R. Crain, Jr., Esq.

November 15, 2000
Date of award