

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-00646

Ellen J. Lee, Claimant vs. ChaseMellon Financial Services, L.L.C., Respondent.

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**ATTORNEYS:**

Claimant, Ellen J. Lee, ("Claimant"), appeared Pro Se, Pecos, TX.

Respondent, ChaseMellon Financial Services, L.L.C., ("Respondent"), appeared through its Senior Compliance Officer Winston A. McLaughlin, Esq., Ridgefield Park, NJ.

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**DATE FILED:** February 14, 2000.

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**CASE SUMMARY:** Claimant alleged that she requested that Respondent send to her the PNC Bank Corp. stock certificates that were held in dividend reinvestment. Claimant maintained that Respondent sent her stock certificates to the wrong person. Claimant stated that Respondent's actions caused her to incur a financial loss.

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**ARBITRATOR'S REPORT:** Reimburse claimant \$858.47 charge for respondent's lost DR's certificate search.

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**Claim Data**

Claim: \$6,262.54

Interest: \$.00

Filing Fees: \$325.00

Other: \$.00

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**Award Data**

Award: \$6,262.54

Interest: 6% per annum from 7/9/98 to  
payment of award

Filing Fees: \$325.00

Other: \$858.47 for reimbursement for lost  
certificate search

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**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 \$6,262.54. 2) Respondent is liable and shall pay to Claimant interest accruing from July 9, 1998 to the date of payment of the award at the rate of 6% (six percent). 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) Respondent is liable and shall pay to Claimant \$325.00 as reimbursement of the filing fee. 5) Respondent is liable and shall pay to Claimant \$858.47 as reimbursement for Respondent's lost certificate search.

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

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Award 00-00646

**AFFIRMATION**

I, L. E. Machin, 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.

  
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L. E. Machin

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April 27, 2001  
Date of award