

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-00903

Chester Derek Intervivos Trust, claimant vs. The Boston Group, respondent.

ATTORNEYS:

Claimant appeared through its Trustee, Chester J. Derek, Saginaw, MI.

For Respondent appeared Eric S. Hutner, Esq., New York, NY.

DATE FILED: March 2, 2000

CASE SUMMARY: Claimant alleged that respondent failed to provide suitable investment advice and purchased Sound Source Interactive Warrants and IDM Environmental "house stocks" which declined in value thereby creating a loss in his account.

Claim Data

Claim: \$6,124.98

Filing Fees: \$325.00

Award Data

Award: \$.00

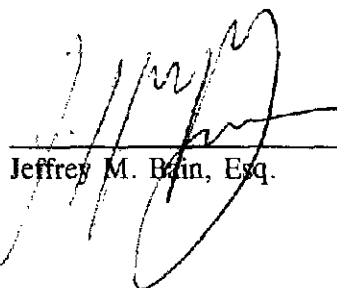
Filing Fees: \$162.50

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 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 claimant \$162.50 as reimbursement for half of the filing fee.

Page Two
Award 00-00903

AFFIRMATION

I, Jeffrey M. Bain, 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.



Jeffrey M. Bain, Esq.

November 17, 2000
Date of award