

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

CASE: 00-03271

Mary Jo Tonelli, claimant vs. First Union Securities, Inc., John Edward Nadelman, and Brad Brooks, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Sherman, TX.

For Respondents appeared Vice President and Associate Counsel, James A. Vollins, Esq., First Union Securities, Inc., Charlotte, NC.

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DATE FILED: August 1, 2000

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**CASE SUMMARY:** Claimant alleged that respondents John Edward Nadelman and Brad Brooks failed to carry out their fiduciary duty and made inappropriate recommendations for her investment goals, and misrepresented the soundness of Crown Paper Company.

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**ARBITRATOR'S REPORT:** This complaint should not appear on Respondent Brooks' Securities Industry Record.

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**Claim Data**

Claim: \$24,639.33

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**Award Data**

Award: \$.00

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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) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Brad Brooks' registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Brad Brooks must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

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

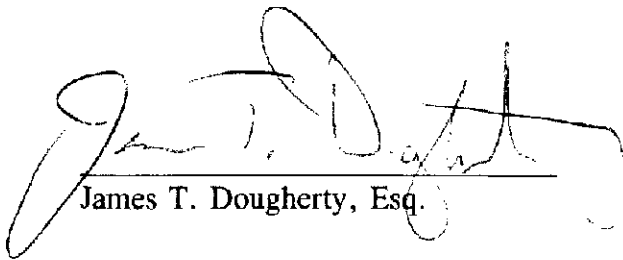
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**OTHER ISSUES:** The Arbitrator denied respondent John Edward Nadelman's request for expungement of his securities industry record.

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Award 00-03271

**AFFIRMATION**

I, James T. Dougherty, 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.



James T. Dougherty, Esq.

February 16, 2001

Date of award