

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03413

Thomas R. Martin, Claimant vs. Merrill Lynch Pierce Fenner & Smith, Inc., Respondent.

ATTORNEYS:

Claimant, Thomas R. Martin, ("Claimant"), appeared Pro Se., Pompano Beach, FL.

Respondent, Merrill Lynch Pierce Fenner & Smith, Inc., ("Respondent"), appeared through its in-house counsel Ellen Sheridan-Cona, Esq., New York, NY.

DATE FILED: August 8, 2000.

CASE SUMMARY: Claimant alleged that Respondent without prior authorization combined his MultiHoldings Florida Insured Funds No. 2, 3, and 4 into a No. 1 Fund, and as a result of Respondent's actions he suffered a financial loss.

Claim Data

Claim: \$21,798.00
Cost: \$1,000.00
Filing Fees: \$425.00
Other: \$.00

Award Data

Award: \$.00
Cost: \$.00
Filing Fees: \$.00
Other: .00

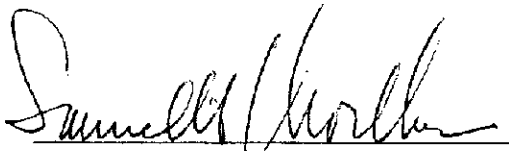
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The Claims of Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has not paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Samuel H. Chorchos, 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.


Samuel H. Chorchos, Esq.

April 16, 2001
Date of award