

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03701

Jeffrey S. Plotkin, Claimant vs. Merrill Lynch Pierce Fenner & Smith, Inc. and Patrick J. Riordan, Respondents.

ATTORNEYS:

Claimant, Jeffrey S. Plotkin ("Claimant"), appeared Pro Se., Austin, TX.

For Respondents, Merrill Lynch Pierce Fenner & Smith, Inc. and Patrick J. Riordan, ("Respondents") appeared in-house-counsel Bryan I. Reyhani, Esq., New York, NY.

DATE FILED: August 8, 2000

CASE SUMMARY: Claimant alleged that Respondents were negligent in the management of his account and as a result he suffer financial losses.

Claim Data

Claim: \$25,000.00
Atty Fees: \$3,500.00
Interest: \$2,500
Filing Fees: \$425.00
Costs: \$50.00
Other: unspecified

Award Data

Award: \$5,000.00
Atty Fees: \$.00
Interest: \$.00
Filing Fees: \$425.00
Cost: \$.00
Other: \$.00

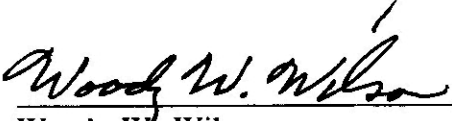
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent Patrick J. Riordan is liable and shall pay to the Claimant \$2,000.00. 2) Respondent Merrill Lynch Pierce Fenner & Smith, Inc. is liable and shall pay to the Claimant \$3,000.00. 3) All requests for attorney fees are denied. 4) All requests for interest are denied. 5) All other relief requests are denied. 6) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 7) Respondent Merrill Lynch Pierce Fenner & Smith, Inc. is liable and shall pay Claimant \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Merrill Lynch Pierce Fenner & Smith, Inc. has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Woody W. Wilson, 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.


Woody W. Wilson

May 14, 2001
Date of award