

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-03862

Global Opportunities Services, Inc., Claimant vs. Investin Securities Corp., Respondent.

ATTORNEYS:

Claimant, Global Opportunities Services, Inc., ("Claimant"), appeared through its President, Allen Goss, Houston, TX.

Respondent, Investin Securities Corp., ("Respondent"), appeared through its Operations Manager, Jay Proffitt, Dallas, TX.

DATE FILED: September 5, 2000

CASE SUMMARY: Claimant alleged that Respondent was negligent in its duty to adequately supervise the work of its broker, Jim Cott. Claimant further alleged that the technical information regarding his trade was inaccurate and resulted in an event that was inconsistent with what was told to Claimant. Claimant maintained that Respondent was vicariously liable for the non-disclosure by its broker, Jim Cott, regarding the Claimant's liability under the NASD and SEC rules.

Claim Data

Claim: \$10,000.00
Filing Fees: \$325.00
Other: unspecified

Award Data

Award: \$.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 \$325.00 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 paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 00-03862

AFFIRMATION

I, Edward W. Burnett, 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.

Edward W. Burnett
Edward W. Burnett

February 9, 2001
Date of award