

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04973

Lev Dorfman, Claimant vs. Fidelity Brokerage Services, Inc and Michael Seager, Respondents.

ATTORNEYS:

Claimant, Lev Dorfman, ("Claimant"), appeared Pro Se., Skokie, IL.

Respondents Fidelity Brokerage Services, Inc. and Michael Seager, (collectively "Respondents"), appeared David C. Boch, Esq. and Eunice E. Lee, Esq. of the firm Bingham Dana, LLP: Boston, MA.

DATE FILED: November 9, 2000.

CASE SUMMARY: Claimant alleged that he was manipulated by Respondents and placed into investments that were unsuitable for his age, investment objectives, financial situation and investment experience. Claimant maintained that as a result of Respondents' action, he suffered financial losses.

Claim Data

Claim: \$24,935.75
Filing Fees: \$425.00
Interest: unspecified
Other: Turning over ownership
of Laidlaw Bonds to Fidelity
Investment Co.

Award Data

Award: \$.00
Filing Fees: \$212.50
Interest: \$.00
Other: denied

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 requests for interest are hereby denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents shall pay claimant \$212.50 as reimbursement for half of the filing fee.

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

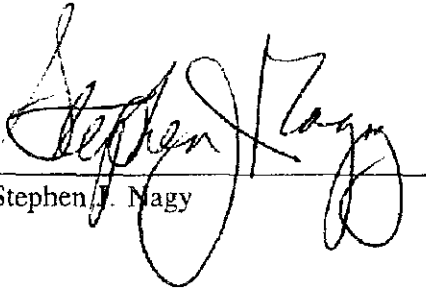
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Award 00-04973

Stephen J. Nagy

Public Arbitrator

AFFIRMATION

I, Stephen J. Nagy , 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.


Stephen J. Nagy

June 29, 2001
Date of award

Date of Service _____