

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 00-04997

Frances Barilla, claimant vs. Garrick Lynch and Raymond James Financial Services, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Indian Shores, FL.

For Respondents John M. Norton II, Esq., in-house counsel, St. Petersburg, FL.

DATE FILED: November 10, 2000

CASE SUMMARY: Claimant alleged that respondents liquidated all of claimant's holdings. Claimant further alleged that after receiving the trade confirmations, respondents refused to reverse the trade creating a loss in claimant's account.

Claim Data

Claim: \$3,106.29
Filing Fees: \$175.00

Award Data

Award: \$.00
Filing Fees: \$175.00

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 \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent Raymond James Financial Services is liable and shall pay claimant \$175.00 as reimbursement of the filing fee.

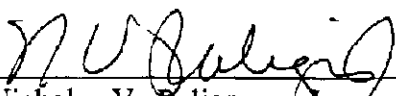
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Raymond James Financial Services, has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

OTHER ISSUES: Respondents' request for expungement was denied by the arbitrator.

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Award 00-04997

AFFIRMATION

I, Nicholas V. Pulignano, Jr., 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.



Nicholas V. Pulignano, Jr.

May 30, 2001
Date of award