

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 00-05157

Fidelity Brokerage Services, Inc., Claimant vs. Kirk P. Thornton, Respondent.

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**ATTORNEYS:**

For Claimant, Fidelity Brokerage Services, Inc., ("Claimant") appeared Laurence K. Richmond, Esq. of the firm Laurence K. Richmond & Associates, P.C., Quincy, MA.

Respondent, Kirk P. Thornton, ("Respondent") did not respond to the Statement of Claim.

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DATE FILED: November 21, 2000

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**CASE SUMMARY:** Claimant alleged that Respondent failed to repay a debit balance created in the account from a margin sellout of Fortune Financial Systems shares.

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**Claim Data**

Claim: \$13,213.15  
Interest: unspecified  
Attorney Fees: unspecified  
Filing Fees: unspecified  
Other: unspecified

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**Award Data**

Award: \$13,213.15  
Interest: \$.00  
Attorney Fees: \$.00  
Filing Fees: \$1,050.00  
Other: \$.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$13,213.15. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The \$1,050.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 6) Respondent is liable and shall pay to the Claimant \$1,050.00 as reimbursement of the filing fee.

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

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**OTHER ISSUES:** Pursuant to the By-Laws of NASD Dispute Resolution, Inc. the arbitrator determined that Respondent, Kirk P. Thornton was served notice of the Statement of Claim and Notification of Arbitrator by regular mail, and is therefore bound by the arbitrator's ruling and determination.

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Award 00-05157

Robert L. Dennis

Sole Public Arbitrator

AFFIRMATION

I, Robert L. Dennis, 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.



Robert L. Dennis

06/15/01

Date of award