

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE:01-01469

Lloyd R. Thorner, claimant vs. Quick & Reilly, respondent.

ATTORNEYS:

Claimant appeared Pro Se, Palmer Lake, CO.

Respondent appeared through its in-house counsel, Brian McSherry, New York, NY.

DATE FILED: March 23, 2001

CASE SUMMARY: Claimant alleged that respondent made poor fills on the sale of AOL and Priceline stocks thereby causing a loss to his account.

Claim Data

Claim: \$9,812.50
Punitive: \$15,000.00
Filing Fees: \$425.00
Other: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$212.50
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 requests for punitive damages are 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) Respondent shall pay claimant \$212.50 as reimbursement of half the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. \$300.00 of the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUE: The arbitrator denied claimant's motion to exclude respondent's answer.

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Award 01-01469

Suanne M. Parro, CPA

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Sole Public Arbitrator

AFFIRMATION

I, Suanne M. Parro, CPA, 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.


Suanne M. Parro, CPA

10/6/01
Signature Date

October 17, 2001
Date of Service (For NASD-DR office use only)