

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 01-02830

Carol A. Hillman, claimant vs. Quick & Reilly, Inc., respondent.

ATTORNEYS:

For Claimant appeared Joseph K. Wehby, Esq., Ft. Wright, KY.

For Respondents appeared Samantha E. Kefford, Esq., In-house Counsel, New York, NY.

DATE FILED: May 30, 2001

CASE SUMMARY: Claimant alleged that because of respondent's carelessness and negligence, her individual account was liquidated without her consent, causing a loss in her account.

Claim Data

Claim: \$13,761.08

Interest: unspecified

Attorney Fees: unspecified

Filing Fees: unspecified

Other: unspecified

Award Data

Award: \$13,761.08

Interest: 12% per annum from 2/22/96
until payment of award

Attorney Fees: \$.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) Respondent is liable and shall pay to the claimant \$13,761.08. 2) All requests for attorney fees are denied. 3) Respondent is liable and shall pay to claimant interest at the rate of 12% per annum from 2/22/96 until payment of award. 4) All other relief requests are denied. 5) The \$425.00 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 claimant \$212.50 as reimbursement of one-half of the filing fee.

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

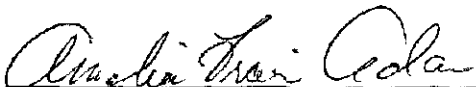
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Award 01-02830


Amelia F. Adams, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Amelia F. Adams, Esq., 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.


Amelia F. Adams, Esq.


Signature Date

December 20, 2001
Date of Service (For NASD-DR office use only)

RECIPIENTS:
Amelia F. Adams, Esq.