

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION**

CASE: 02-04606

Norman R. Levins, claimant vs. Kevin F. Cuddihy and David Brockway, respondents.

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**ATTORNEYS:**

Claimant appeared pro se, Mt. Pleasant, SC.

For Respondents appeared in-house counsel, Daren A. Luma, Esq., Merrill Lynch, Pierce, Fenner & Smith, New York, NY.

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DATE FILED: August 6, 2002

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**CASE SUMMARY:** Claimant alleged that respondents failed to disclose important information regarding his Regents Fund investment. Claimant maintained that due to respondents' actions, the account suffered losses.

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**Claim Data**

Claim: \$17,752.00  
Interest: \$335.00  
Other: unspecified

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**Award Data**

Award: \$.00  
Interest: \$.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) The claims of claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All other relief requests are denied. 4) The \$425.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Merrill Lynch, Pierce, Fenner & Smith, Inc., has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

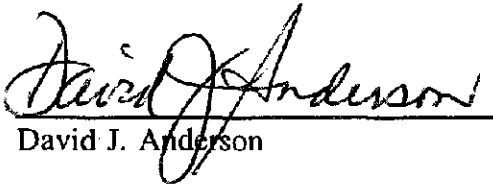
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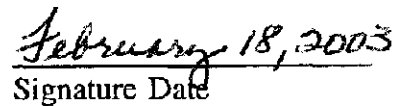
David J. Anderson

Sole Public Arbitrator

**AFFIRMATION**

I, David J. Anderson, 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.

  
David J. Anderson

  
Signature Date

March 3, 2003  
Date of Service (For NASD-DR office use only)