

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-05577

Lois Dvoskin-Feldman, claimant vs. Hennion & Walsh, Inc., and Alexander Vermitsky, CFP, respondents.

ATTORNEYS:

Claimant, Lois Dvoskin Feldman, appeared pro se, New Milford, NJ.

Respondents appeared pro se through Alexander Vermitsky, CFP, Director of Compliance, Parsippany, NJ.

DATE FILED: September 19, 2002

CASE SUMMARY: Claimant alleged that respondents debited her account without her authorization and imposed fees without any notification. Claimant maintained that due to respondents' actions, the account suffered losses.

Claim Data

Claim: \$380.55
Filing Fees: \$.00
Other: \$200.00

Award Data

Award: \$220.00
Filing Fees: \$25.00
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 against Respondent Alexander Vermitsky are dismissed in their entirety. 2) Respondent Hennion & Walsh, Inc., is liable and shall pay to the Claimant \$220.00. 3) All other relief requests are denied. 4) The arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondent Alexander Vermitsky registration records maintained by the NASD Central Registration Depository ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09, Respondent Alexander Vermitsky must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive. 5) The \$50.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 6) Respondent Hennion & Walsh, Inc., is liable and shall pay claimant \$25.00 as reimbursement of one-half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Hennion and Walsh, Inc., has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

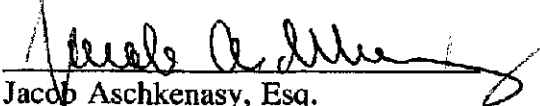
Page Two
Award 02-05577

Jacob Aschkenasy

Sole Public Arbitrator

AFFIRMATION

I, Jacob Aschkenasy, Esq., do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


Jacob Aschkenasy, Esq.

2.24.03
Signature Date

March 4, 2003
Date of Service (For NASD-DR office use only)