

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 02-05795

Marian Mason, claimant vs. Vincent E. Austin, respondent.

ATTORNEYS:

Claimant appeared pro se, Ozone Park, NY.

For Respondent appeared Kevin J. Deloatch, Esq., of the firm Bressler, Amery & Ross, P.C., New York, NY.

DATE FILED: September 30, 2002

CASE SUMMARY: Claimant alleged that respondent failed to provide her with information regarding the status of her Stone & Webster stock certificate. Claimant maintained that because of respondent's actions, her account suffered a loss.

Claim Data

Claim: \$2,749.40
Punitive: \$5,498.80
Filing Fees: \$75.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$325.00

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 \$325.00 filing fee previously deposited with NASD Dispute Resolution by the claimant, shall be retained by NASD Dispute Resolution. 5) Respondent is liable and shall pay claimant \$325.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, PFS Investments, Inc. has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.


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Award 02-05795


Roselyn C. Dlutman, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Roselyn C. Dlutman, 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.


Roselyn C. Dlutman, Esq.

MARCH 3, 2003
Signature Date

March 11, 2003

Date of Service (For NASD-DR office use only)