

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-00416

Paul Kessler and Alberta Kessler, Claimants vs. Advest, Inc., and Ronald Roberts, Respondents.

ATTORNEYS:

Claimants, Paul Kessler and Alberta Kessler, ("Claimants"), appeared Pro Se., Flushing, NY.

Respondents, Advest, Inc., and Ronald Roberts, (collectively "Respondents"), appeared through their in-house counsel, Thomas P. Byrne, Esq., Hartford, CT.

DATE FILED: January 17, 2003

CASE SUMMARY: Claimants alleged that Respondents failed to execute their instructions concerning the disposition of their Individual IRA accounts as requested. Claimants maintain that due to Respondents' action, they suffered financial losses.

Claim Data

Claim: \$5,000.00
Filing Fees: \$175.00
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$87.50
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 Claimants are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$175.00 filing fee previously deposited with NASD Dispute Resolution by the Claimants, shall be retained by NASD Dispute Resolution. 4) Respondents are jointly liable and shall pay Claimants \$87.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Advest Inc., has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

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Award 03-00416

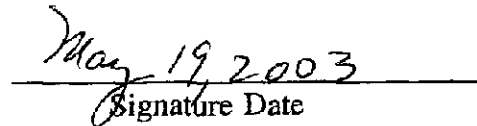
Simone A. Muscarnera, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Simone A. Muscarnera, 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.


Simone A. Muscarnera, Esq.


Signature Date

June 5, 2003
Date of Service (For NASD-DR office use only)