

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

CASE: 03-01008

John W. Ruddy Jr., Claimant vs. Metropolitan Life Insurance Company and Chase Mellon Investor Services, Respondents.

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**ATTORNEYS:**

Claimant, John W. Ruddy Jr. appeared pro se., Palm Harbor, FL.

For Respondent, Metropolitan Life Insurance Company, appeared in-house counsel Duncan J. Logan, Esq., New York, NY.

For Respondent, Chase Mellon Investor Services, appeared Gerald L. Popovsky, Ridgefield Park, NJ.

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DATE FILED: February 11, 2003.

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**CASE SUMMARY:** Claimant alleged that Respondents failed to execute his instructions to purchase stocks of Metropolitan Life Trust Interests. Claimant further alleged that he was wrongfully treated as a Metropolitan Life Insurance holder. Claimant maintained that because of respondents' actions, he suffered a loss.

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Claim Data	Award Data
Claim: \$1,500.00	Award: \$.00
Filing Fees: \$.00	Filing Fees: \$37.50
Other: 100 shares of common stock	Other: Denied

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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 other relief requests are denied. 3) The \$75.00 filing fee previously deposited with NASD Dispute Resolution by the Claimant, shall be retained by NASD Dispute Resolution. 4) Respondent is liable and shall pay Claimant \$37.50 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent, Metropolitan Life Insurance Company, has paid to NASD Dispute Resolution the \$150.00 Member Surcharge previously invoiced.

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**OTHER ISSUES:** Respondent, Chase Mellon Investor Services did not submit to arbitration.

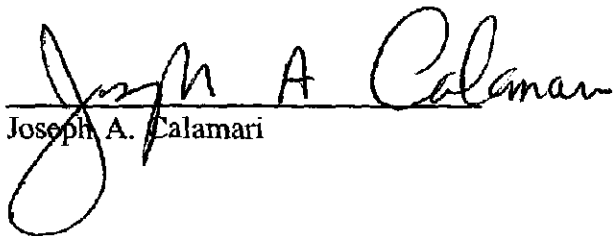
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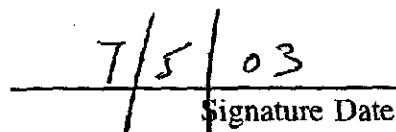
Joseph A. Calamari

Sole Public Arbitrator

**AFFIRMATION**

I, Joseph A. Calamari, 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.

  
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Joseph A. Calamari

  
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Signature Date

July 15, 2003  
Date of Service (For NASD-DR office use only)