

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-05708

Elisabeth Ehrman, Claimant v. Merrill Lynch Pierce Fenner & Smith, Inc., Respondent.

ATTORNEYS:

For Claimant, Elisabeth Ehrman, ("Claimant"), appeared Wm. Jemison Mims, Jr., Esq., of the firm Levin, Papantonio, Thomas, Mitchell, Echsner & Proctor, P.A., Pensacola, FL.

For Respondent, Merrill Lynch Pierce Fenner and Smith, Inc., ("Respondent"), appeared A. Inge Selden III, Esq., of the firm Maynard, Cooper & Gale, P.C., Birmingham, AL.

NATURE OF DISPUTE: Customer v. Member

DATE FILED: August 5, 2003

CASE SUMMARY: Claimant alleged that Respondent breached its fiduciary duty, committed fraud, misrepresented and/or omitted material facts, was negligent, and violated Blue Sky Laws. Claimant maintained that due to Respondent's actions, her account suffered financial losses. Claimant's claim involved America Online and Tyco stock.

Claim Data

Claim: \$16,027.00
Punitive: Unspecified
Interest: Unspecified
Attorney Fees: Unspecified
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Punitive: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$.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 the Claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All requests for interest are denied. 4) All requests for attorney fees are denied. 5) All other relief requests are denied. 6) NASD Dispute Resolution shall retain the \$425.00 filing fee that the Claimant deposited previously.

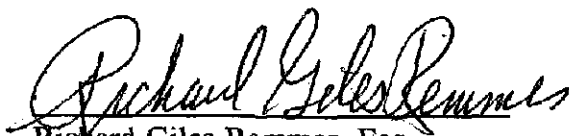
OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$425.00 Member Surcharge previously invoiced.

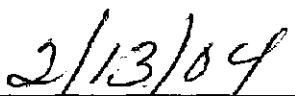
Richard Giles Remmes, Esq.

Sole Public Arbitrator

AFFIRMATION

I, Richard Giles Remmes, Esq., 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.


Richard Giles Remmes, Esq.


Signature Date

February 25, 2004

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