

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 03-05969

Martin McNulty, Claimant v. UBS Financial Services, Inc. f/k/a UBS PaineWebber, Inc.,
Respondent.

ATTORNEYS:

Claimant, Martin McNulty, ("Claimant"), appeared pro se, Lynn, MA.

Respondent, UBS Financial Services, Inc. f/k/a UBS PaineWebber, Inc., ("Respondent"), appeared
through its in-house counsel Heather A. Wright, Esq., New York, NY.

NATURE OF DISPUTE: Customer v. Member

DATE FILED: August 18, 2003

CASE SUMMARY: Claimant alleged that Respondent traded on margin and without
authorization in his account, and that Respondent failed to supervise its representative, Claimant's
broker, Douglas Chick. Claimant maintained that due to Respondent's action, his account
suffered financial losses.

Claim Data

Claim: \$24,500.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$425.00
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 other relief requests are denied. 3) NASD Dispute Resolution shall
retain the \$425.00 filing fee that the Claimant deposited previously. 4) Respondent is liable for
and shall pay to the Claimant \$425.00 as reimbursement of the filing fee.

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