

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-01374

Rollin B. Hardisty IRA, Claimant v. Janney Montgomery Scott, Bernard Cohen and Jonathan Cohen, Respondents.

ATTORNEYS:

Claimant, Rollin B. Hardisty IRA, ("Claimant") appeared pro se, Jupiter, FL.

For Respondent, Janney Montgomery Scott, Bernard Cohen and Jonathan Cohen, (Collectively "Respondents") appeared through their in-house counsel, Carrie L. Chelko, Esq., Philadelphia, PA.

NATURE OF DISPUTE: Customer vs. Member and Associated Persons.

DATE FILED: March 1, 2004.

CASE SUMMARY: Claimants alleged that Respondents failed to diversify his portfolio and placed all his investment into tech stocks that were unsuitable to his investment objectives.

Claim Data

Claim: \$6,000.00
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$.00
Filing Fees: \$.00
Other: \$.00

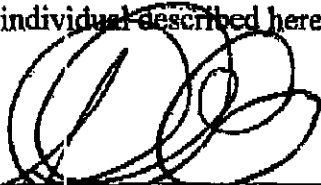
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimants deposited previously. 4) The arbitrator recommends the expungement of all reference to the above captioned arbitration from Respondents Bernard Cohen and Jonathan Cohen registration records maintained by the NASD Central Registration ("CRD"), with the understanding that pursuant to NASD Notice to Members 99-09 and 99-54, Respondents Bernard Cohen and Jonathan Cohen must obtain confirmation from a court of competent jurisdiction before the CRD will execute the expungement directive.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Janney Montgomery Scott has paid to NASD Dispute Resolution the \$325.00 Member Surcharge previously invoiced.

Steven N. Ainbinder, Esq. - Sole-Public Arbitrator

AFFIRMATION

I, Steven N. Ainbinder, 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.



Steven N. Ainbinder, Esq.

10/1/04

Signature Date

October 5, 2004

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