

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION

CASE: 04-02807

Andrew Fleiss, Claimant v. Fidelity Brokerage Services, LLC, Respondent

ATTORNEYS:

For Claimant Andrew Fleiss ("Claimant") appeared Norman Lawi, Esq., New York, NY.

For Respondent Citigroup Fidelity Brokerage Services, LLC ("Respondent") appeared Melissa Hegger Shea, Esq., in-house counsel, Fidelity Brokerage Services, LLC, Boston, MA.

NATURE OF DISPUTE: Customer v. Member.

DATE FILED: April 15, 2004.

CASE SUMMARY: Claimant alleged that Respondent failed to fulfill its obligation to provide him notice that he must exercise his rights regarding the shares of UCOMR or they would be worthless upon expiration.

Claim Data

Claim: \$7,060.00
Interest: Unspecified
Attorney Fees: 1,765.00
Filing Fees: 325.00
Other: Unspecified

Award Data

Award: \$.00
Interest: \$.00
Attorney Fees: \$.00
Filing Fees: \$187.50
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 Claimant are dismissed in their entirety. 2) All requests for interest are denied. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) NASD Dispute Resolution shall retain the \$325.00 filing fee that the Claimant deposited previously. 6) Respondent is liable and shall pay Claimant \$187.50 as reimbursement of one-half of the filing fee.

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

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Award 04-02807

Anthony P. Connolly

Sole Public Arbitrator

AFFIRMATION

I, Anthony P. Connolly, 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.


Anthony P. Connolly

10/20/04
Signature Date

November 2, 2004
Date of Service (For NASD-DR office use only)