

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

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CASE: 05-05277

Denise G. Bartley, (Claimant) vs. OppenheimerFunds Distributor, Inc., (Respondent)

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**ATTORNEYS:**

Claimant appeared *pro se*, Iselin, NJ.

For Respondent appeared in-house counsel Melissa L. Weiss, Esq., New York, NY.

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**NATURE OF DISPUTE:** Customer vs. Member

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**DATE FILED:** October 11, 2005

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**CASE SUMMARY:** Claimant alleged that Respondent omitted and misrepresented material facts regarding investments in her account. Claimant further alleged manipulation. Claimant maintained that due to Respondent's actions, she suffered a financial loss. Claimant's claim involved Omax Funds.

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**Claim Data**

Claim: \$3,500.00

Filing Fees: \$.00

**Award Data**

Award: \$.00

Filing Fees: \$87.50

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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 the Claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) NASD Dispute Resolution shall retain the \$175.00 filing fee that the Claimant deposited previously. 4) Respondent is liable and shall pay Claimant \$87.50 as reimbursement of one half of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent has paid to NASD Dispute Resolution the \$200.00 Member Surcharge previously invoiced.

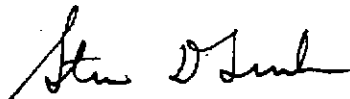
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Award 05-05277

Steven D. Leader

Sole Public Arbitrator

AFFIRMATION

I, Steven D. Leader, 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.

  
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Steven D. Leader

Feb. 17, 2006  
(Signature Date)

**February 17, 2006**

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