

**Stipulated Award
FINRA Dispute Resolution**

In the Matter of the Arbitration Between:

Claimant
CCO Investment Services Corp.

Case Number: 13-00267

vs.

Respondent
Timothy Trifeletti

Hearing Site: Philadelphia, Pennsylvania

Nature of the Dispute: Member vs. Associated Person

REPRESENTATION OF PARTIES

For Claimant CCO Investment Services Corp.: Christine R. Fitzgerald, Esq. and David M. Belcher, Esq., Belcher Fitzgerald LLP, Boston, Massachusetts.

Respondent Timothy Trifeletti appeared pro se.

CASE INFORMATION

Statement of Claim filed on or about: January 25, 2013.
Response to Counterclaim filed on or about: April 5, 2013.
Claimant signed the Submission Agreement on January 23, 2013.

Statement of Answer and Counterclaim filed on or about: March 19, 2013.
Respondent signed the Submission Agreement: March 18, 2013.

CASE SUMMARY

Claimant asserted the following cause of action: breach of promissory note.

Unless specifically admitted in his Answer, Respondent denied the allegations made in the Statement of Claim and asserted various affirmative defenses.

In the Counterclaim, Respondent asserted the following causes of action: breach of contract, age discrimination, libel or slander, libel or slander on Form U5, and wrongful termination.

Unless specifically admitted in its Answer, Claimant denied the allegations made in the Counterclaim and asserted various affirmative defenses.

RELIEF REQUESTED

In the Statement of Claim, Claimant requested compensatory damages in the amount of \$21,200.00 plus interest at the rate of \$4.16 per day, attorneys' fees, costs, and such other and further relief as deemed just and equitable.

Respondent requested that Claimant's claim be dismissed and, in the Counterclaim, requested compensatory damages in the amount of \$172,218.00 plus interest, punitive damages, costs, amendment of his Form U5, and such other and further relief as deemed just and proper.

Claimant requested that Respondent's Counterclaim be denied in its entirety, attorneys' fees, costs, and such further relief as deemed just and equitable.

OTHER ISSUES CONSIDERED AND DECIDED

The Arbitrators acknowledge that they have each read the pleadings and other materials filed by the parties.

On September 23, 2014, FINRA Dispute Resolution was notified that this matter was settled and the parties requested a Stipulated Award.

The parties have agreed that the Stipulated Award in this matter may be executed in counterpart copies or that a handwritten, signed Award may be entered.

AWARD

The parties entered into an agreement to present to the Panel a Stipulated Award. Now, in lieu of a hearing and upon motion of both parties for an entry of an award, and the written stipulation thereto, the Panel grants the motion and enters this award granting the following relief:

1. Respondent shall be obligated to make payment to Claimant pursuant to the terms of the parties' confidential Settlement Agreement dated August 26, 2014.
2. Respondent's Counterclaim is dismissed with prejudice.
3. Each party shall bear its own costs and attorney's fees.
4. Any and all relief not specifically addressed herein, including punitive damages, is denied and this action is hereby dismissed.

FEES

Pursuant to the Code, the following fees are assessed:

Filing Fees

FINRA Dispute Resolution assessed a filing fee* for each claim:

Initial Claim Filing Fee	= \$ 1,050.00
Counterclaim Filing Fee	= \$ 1,425.00

**The filing fee is made up of a non-refundable and a refundable portion.*

Member Fees

Member fees are assessed to each member firm that is a party in these proceedings or to the member firm that employed the associated person at the time of the events giving rise to the dispute. Accordingly, CCO Investment Services Corp., is assessed the following:

Member Surcharge	= \$ 425.00
Pre-Hearing Processing Fee	= \$ 750.00
Hearing Processing Fee	= \$ 2,750.00

Adjournment Fees

Adjournments granted during these proceedings for which fees were assessed:

September 9 & 10, 2014 adjournment by the parties	= \$ 1,125.00
Total Adjournment Fees	= \$ 1,125.00

1. The Panel has assessed \$562.50 of the adjournment fees to Claimant.
2. The Panel has assessed \$562.50 of the adjournment fees to Respondent.

Hearing Session Fees and Assessments

The Panel has assessed hearing session fees for each session conducted. A session is any meeting between the parties and the arbitrators, including a pre-hearing conference with the arbitrators, that lasts four (4) hours or less. Fees associated with these proceedings are:

Two (2) pre-hearing sessions with the Panel @ \$1,125.00	= \$ 2,250.00
Pre-hearing conferences: October 30, 2013 1 session	
February 25, 2014 1 session	
Total Hearing Session Fees	= \$ 2,250.00

1. The Panel has assessed \$1,125.00 of the hearing session fees to Claimant.
2. The Panel has assessed \$1,125.00 of the hearing session fees to Respondent.

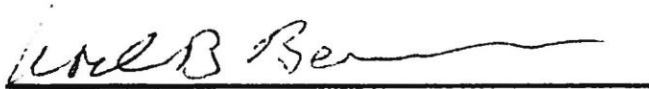
All balances are payable to FINRA Dispute Resolution and are due upon receipt.

ARBITRATION PANEL

Noel B. Berman	-	Public Arbitrator, Presiding Chairperson
Alan J. Blocher	-	Public Arbitrator
John James McGovern, Jr.	-	Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm that I am the individual described herein and who executed this instrument which is my award.

Concurring Arbitrators' Signatures



Noel B. Berman
Public Arbitrator, Presiding Chairperson

12/15/14

Signature Date

Alan J. Blocher
Public Arbitrator

Signature Date

John James McGovern, Jr.
Public Arbitrator

Signature Date

December 30, 2014

Date of Service (For FINRA Dispute Resolution office use only)

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Public Arbitrator



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