

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Carlton F. Roberson

vs.

Fidelity Investments

Claimant(s)

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-01844

CASE SUMMARY

Claimant Carlton F. Roberson alleged that Respondent Fidelity Investments did not execute a trade as directed. Respondent maintains that there is no record of the call Claimant alleges to have made and therefore finds no evidence that the exchange was properly requested.

RELIEF REQUESTED

Claimant Carlton F. Roberson requested damages of \$2869.98. Respondents requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on June 2, 1988 and by Respondents on July 22, 1988. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

The claim of the Claimants shall be and hereby is dismissed in all respects;

The parties shall each bear their respective costs including attorney's fees.

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant will be retained by the NASD, Inc. as costs of this proceeding.

July 11, 1989

The parties shall each bear their respective costs including attorney's fees.

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

October 16, 1989