

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert E. Freeman
and Marion J. Freeman

Claimant(s)

vs.

Fidelity Investments

Respondent(s)

NOTICE OF ARBITRATION
AWARD
89-01489

CASE SUMMARY

Claimant(s) Robert E. Freeman and Marion J. Freeman alleged that Respondent(s) Fidelity Investments negligently mishandled Claimants' account held with Respondent. Respondent(s) denies Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Robert E. Freeman and Marion J. Freeman requested actual damages of One Thousand Five Hundred Three Dollars and Fifty-One Cents (\$1,503.51) and special damages of Nine Hundred Dollars and No Cents (\$900.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Richard C. Moenning, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on May 15, 1989 and by Respondent(s) on June 20, 1989, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

The Respondent shall pay the Claimant the total amount of Two Thousand Two Hundred Twenty Eight Dollars and Twenty-Four Cents (\$2,228.24).

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

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding and reimbursed to the Claimant by the Respondent.

November 9, 1989