

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Anthony Fieldhouse

Claimant(s)

vs.

Fidelity Brokerage and
Philadelphia Options Exchange

Respondent(s)

NOTICE OF
ARBITRATION

AWARD

89-03370

CASE SUMMARY

Claimant(s) Anthony Fieldhouse alleged that Respondent(s) Fidelity Brokerage and Philadelphia Options Exchange deprived Claimant of a fair premium. Respondent Fidelity Brokerage Services, Inc. denies that any act or omission on its part caused any loss for which they are liable to the Claimant.

RELIEF REQUESTED

Claimant(s) Anthony Fieldhouse requested damages of One Thousand Four Hundred Dollars and No Cents (\$1,400.00). 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, Roneé C. McLaughlin, 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 November 28, 1989 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure;

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

That the claim of the Claimant shall be and hereby is dismissed in all respects.

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

Notice of Arbitration Award
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The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be retained by the NASD as costs of this proceeding.

April 2, 1990