

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Henry W. Kingsbery

Claimant(s)

vs.

Fidelity Brokerage  
Services, Inc.

Respondent(s)

NOTICE OF  
ARBITRATION  
AWARD  
89-03455

CASE SUMMARY

Claimant(s) Henry W. Kingsbery alleged that Respondent(s) Fidelity Brokerage Services, Inc. mishandled a trade. Respondent maintains that they on all occasions followed Claimant's instructions.

RELIEF REQUESTED

Claimant(s) Henry W. Kingsbery requested damages of Four Hundred Thirty Four Dollars and No Cents (\$434.00). 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, Deena J. Powell, 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 December 4, 1989 and by Respondent(s) on January 10, 1990, 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 is liable and shall pay the sum of Four Hundred Thirty Four Dollars and No Cents (\$434.00) to the Claimant.

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 refunded to the Claimant by the Respondent.

February 28, 1990