

**NATIONAL ASSOCIATION OF SECURITIES DEALERS**

**In the Matter of the Arbitration Between**

**Daniel T. and Martha Y. Yap**

**Claimant(s)**

**vs.**

**Fidelity Investments Brokerage  
Services**

**Respondent(s)**

**NOTICE OF  
ARBITRATION  
AWARD  
90-00281**

**CASE SUMMARY**

Claimant(s) Daniel T. and Martha Y. Yap alleged that Respondent(s) Fidelity Investments Brokerage Services failed to execute an order in a timely manner. Respondent(s) denies that any act or omission on its part caused any losses to the Claimants for which Fidelity is liable.

**RELIEF REQUESTED**

Claimant(s) Daniel T. and Martha Y. Yap requested damages of Three Thousand Four Hundred Fifty One Dollars and No Cents (\$3,451.00). 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 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 January 20, 1990 and by Respondent(s) on March 1, 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 One Thousand Four Hundred Fifty One Dollars and No Cents (\$1,451.00) to the Claimant.

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

Notice of Arbitration Award  
90-00281  
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The \$100 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be refunded to the Claimant by the Respondent.

April 5, 1990