

N.A.S.D. REGULATION, INC. AWARD

CASE: 98 - 00367

Jean L. Williams, claimant vs. Fidelity Investments/Fidelity Brokerage Services, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se. - Clackamas, OR.

For respondent appeared Alicia Reines-Leo, Esq., - Boston, MA.

DATE FILED: 1/30/98

CASE SUMMARY: Claimant alleged failure to execute, and unauthorized trading.

Claim Data

Claim: \$5,372.92
Interest: Requested
Atty Fees: Requested
Filing Fees: \$150.00
Other: \$37.00

Award Data

Award: \$5,372.92
Interest: \$.00
Atty Fees: \$.00
Filing Fees: \$150.00
Other: \$37.00

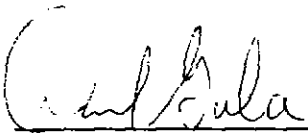
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$5,372.92. 2) All requests for attorney fees are denied. 3) All other relief requests are denied. 4) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 5) Respondent is liable and shall pay claimant \$150.00 as reimbursement of the filing fee. 6) Respondent is liable and shall pay claimant \$37.00 for other cost.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Fidelity Brokerage Services has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, David M. Gaba, Esq., do hereby affirm, upon my oath as arbitrator that I am the individual described herein who executed this instrument, which is my oath and award.

A handwritten signature in cursive script, appearing to read "David M. Gaba", is written over a horizontal line.

David M. Gaba, Esq.

October 29, 1998

Date of award