

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-00066

Pedro Nieves and Maria Castro Nieves, claimants vs. Quick & Reilly, Inc., respondent.

ATTORNEYS:

Claimants, Pedro Nieves and Maria Castro Nieves, appeared Pro Se., Bronxville, NY.

For Respondent, Quick & Reilly, Inc., appeared in-house counsel Douglas S. Flaherty, Esq., New York, NY.

DATE FILED: January 7, 1999

CASE SUMMARY: Claimants alleged that Quick and Reilly failed to execute a purchase order for 300 shares of SKYM stock. Instead they purchased 300 shares of SKYN stock.

Claim Data

Claim: \$8,075.00
Filing Fees: \$0.00

Award Data

Award: \$0.00
Filing Fees: \$75.00


AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimant \$75.00 as reimbursement for 50% of the filing fee.

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

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Award 99-0066

AFFIRMATION

I, Simon S. Kogan, do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Simon Kogan

September 1, 2000
Date of Award