

AWARD

NASD Regulation, Inc.

CASE: 99-00297

Nat Palaniappan, claimant vs. Fidelity Brokerage Services, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se - Scottsdale, AZ.

For Respondent appeared Richelle S. Kennedy, Esq., of the firm, Bingham Dana, LLP, Boston, MA.

DATE FILED: January 22, 1999

CASE SUMMARY: Claimant alleged respondent improperly executed a purchase order for shares of JASMINE stock.

ARBITRATOR'S REPORT: There is no evidence that the claimant sustained a loss, and creditable evidence that the respondent completed the transaction as ordered.

Claim Data

Claim: \$6,952.50
Punitive: \$10,530.00
Filing Fees: \$0.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: \$.00

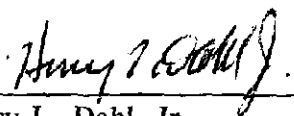
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) Of the \$150.00 filing fee, \$100.00 previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc - \$50.00 was waived.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Henry L. Dahl, Jr., 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.



Henry L. Dahl, Jr.

November 19, 1999

Date of award