

**N.A.S.D. REGULATION AWARD**  
**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE: 99-00483

Rosejane O'Reilly, claimant vs. PNC Brokerage Corp., respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se., Elmhurst, NY.

For Respondent PNC Brokerage Corp., appeared Thomas K. Lammert, Jr., Esq., Pittsburgh, PA.

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**DATE FILED:** February 2, 1999

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**CASE SUMMARY:** Claimant alleged that respondent prevented her from initiating stock trades in her account without an explanation, resulting in monetary loss and mental stress.

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**Claim Data**

Claim: \$5,000.00  
Punitive: \$4,000.00  
Filing Fees: \$0.00

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Filing Fees: \$150.00

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**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) 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 shall pay claimant \$150.00 as reimbursement of the filing fee.

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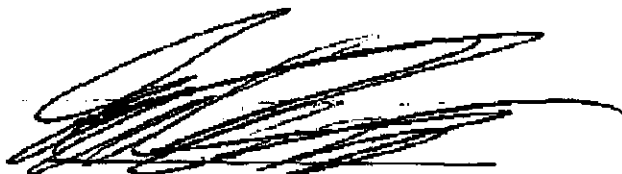
**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent shall pay to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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Award 99-00483

**AFFIRMATION**

I, Edward M. Rosensteel, 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.

A handwritten signature in dark ink, appearing to be "Edward M. Rosensteel", written over a horizontal line.

January 10, 2000  
Date of Award