

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

CASE: 99-00747

Fidelity Brokerage Services, Inc., claimant vs. Robert Duquette, respondent.

ATTORNEYS:

For Claimant Fidelity Brokerage Services, Inc., ("Claimant"), Laurence K. Richmond, Esq. of the Firm Laurence K. Richmond & Associates, P.C., Quincy, MA.

Respondent, Robert Duquette, did not respond to Claimant's Statement of Claim.

DATE FILED: February 19, 1999

CASE SUMMARY: Claimant alleged that on November 28, 1998, an amount of \$20,399.40 was erroneously deposited into Respondent's account. Claimant further alleged that Respondent had since paid \$1,900.00, however, a debit balance of \$17,818.61. remains unpaid.

Claim Data

Claim: \$17,818.61
Interest: Unspecified
Atty Fees: Unspecified
Costs: Unspecified

Award Data

Award: \$17,818.61
Interest: \$.00
Atty Fees: \$.00
Costs: \$.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 \$17,818.61. 2) All requests for attorney fees are denied. 3) All requests for interest are denied. 4) All other relief requests are denied. 5) The \$575.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the Claimant, shall be retained by NASD Regulation, Inc.

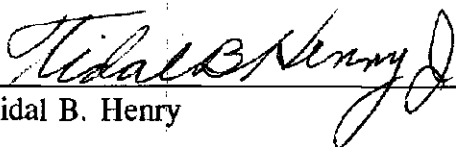
OTHER FEES: Pursuant to Rule 10333 of the Code, Claimant, Fidelity Brokerage Services, has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that Respondent, Robert Duquette was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail and is therefore bound by the arbitrator's ruling and determination.

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AFFIRMATION

I, Tidal B. Henry, 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.


Tidal B. Henry

April 3, 2000
Date of award