

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

CASE: 99-00771

A. A. Friedman, claimant vs. Quick and Reilly, Inc., respondent.

ATTORNEYS:

For Claimant appeared Todd M. Sloan, Esq. of Law Offices of Todd M. Sloan, Malibu, CA.

Respondent appeared through its Vice President, Douglas S. Flaherty, Esq.

DATE FILED: 02/22/99

CASE SUMMARY: Claimant alleged respondent wrongfully disseminated information that claimant's account was closed because of a "bad credit risk."

Claim Data

Claim: \$10,000.00

Filing Fees: \$.00

Award Data

Award: \$.00

Filing Fees: \$150.00

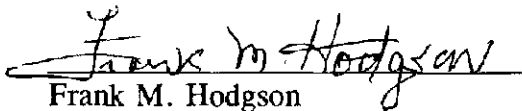
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 3) Respondent is assessed the full filing fee amount and shall pay claimant \$150.00 as reimbursement of the filing fee.

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

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AFFIRMATION

I, Frank M. Hodgson, 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.


Frank M. Hodgson

November 9, 1999

Date of award