

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

CASE: 99-01407

The Amy R. Roy 1994 Irrevocable Trust, claimant vs. John Staunton and Tucker Anthony, Inc., respondents.

ATTORNEYS:

For Claimant The Amy Roy 1994 Irrevocable Trust ("Claimant"), Jennifer L. Roy, trustee of the Irrevocable Trust Fund, Laconia, New Hampshire.

For Respondents John Staunton ("Staunton") and Tucker Anthony, Inc. ("Tucker Anthony"), Patrick J. Howley, Esq., Director of Litigation, Tucker Anthony, Inc., New York, New York.

DATE FILED: 03/23/1999

CASE SUMMARY: Claimant maintained that from February 1996 to May of 1997, she deposited funds into a Trust Account that was to be managed by Respondents. Claimant further maintained that contrary to her investment objective, of appreciation/risk and appreciation/safety, Respondents purchased small, high risk companies. that were not consistent with her investment objective.

Claim Data

Claim: \$7,000.00

Award Data

Award: \$.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 \$325.00 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, Respondent Tucker Anthony, Inc. has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

OTHER ISSUES: The arbitrator denied Respondents Motion for a hearing in this matter.