

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

CASE: 99-01800

Anthony Federico, claimant vs. ICMA Retirement Corporation, respondents.

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**ATTORNEYS:**

Claimant Anthony Federico ("Claimant"), appeared Pro Se., Princeton, New Jersey.

For Respondent ICMA Retirement Corporation ("Respondent"), Elizabeth Hoop Faye, Esq., Morgan, Lewis & Bockius LLP, Philadelphia, Pennsylvania.

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DATE FILED: April 19, 1999

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**CASE SUMMARY:** Claimant alleged that from January 1, 1996, until March 11, 1999, Respondent invested his contributions to the ICMA 457 Deferred Compensation Plan incorrectly. Claimant maintained that Respondent invested his contributions in a fixed income fund, as opposed to the Growth Stock Fund that he requested.

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**Claim Data**

Claim: 5,981.00

Filing Fees: \$325.00

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**Award Data**

Award: \$5,000.00

Filing Fees: \$325.00

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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) Respondent is liable and shall pay to the claimant \$5,000.00. 2) 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. 3) Respondent is hereby liable and shall pay Claimant \$325.00 as reimbursement of the filing fee.

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**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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Award 99-01800

AFFIRMATION

I, Martin D. Sklar, Esq., 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.

  
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Martin D. Sklar, Esq.

January 21, 2000

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Date of Award