

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04104

Carl Friedman, claimant vs. Everen Securities, Inc., n/k/a First Union Securities, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se., Reno, NV.

For respondent appeared in house counsel, Bruce Lewitas, Esq., Chicago, IL.

DATE FILED: September 7, 1999

CASE SUMMARY: Claimant alleged that respondent solicited investments for his IRA and Living Trust accounts which were inconsistent with his investment objective. Claimant further alleged that respondent omitted and misrepresented facts as related to the quality and potential of the company, and the securities are worthless.

Claim Data

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

Award Data

Award: \$0.00
Filing Fees: \$87.50

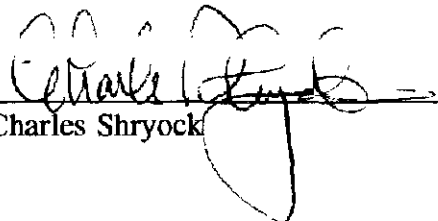
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay claimant \$87.50 as reimbursement for 50% of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-04104

AFFIRMATION

I, Charles Shryock, 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.



Charles Shryock

October 30, 2000

Date of award