

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04519

Michael Lepie and Sara R. Lepie, claimants vs. Jonathan Price, and Michael Mahoney, respondents.

ATTORNEYS:

Claimants Michael Lepie and Sara Lepie appeared, Pro Se, Waban, MA

For respondents Jonathan Price, and Michael Mahoney, appeared Todd O'Connor, Esq., in-house counsel for Commonwealth Equity Services, Inc., Washington, DC

DATE FILED: October 5, 1999

CASE SUMMARY: Claimants alleged that respondents failed to follow their orders in a timely manner regarding the buying and selling of 300 shares of BID.com stock. Claimants further alleged that as a result they incurred a financial loss of \$900.00.

Claim Data

Claim: \$900.00
Punitive: \$900.00
Filing Fees: \$100.00

Award Data

Award: \$450.00
Punitive: \$.00
Filing Fees: \$75.00

Claim Data

Claim: \$900.00
Punitive: \$900.00
Filing Fees: \$100.00

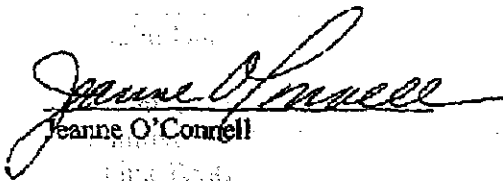
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent Jonathan Price is hereby liable and shall pay to the claimant \$450.00. 2) All requests for punitive damages are denied. 3) All other relief requests including the request for damages against Michael Mahoney are denied. 4) The \$75.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) Respondents are jointly and severally liable and shall pay claimant \$75.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Commonwealth Equity Services has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 99-04519

AFFIRMATION

I, Jeanne O'Connell, 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,


Jeanne O'Connell

January 22, 2001
Date of award