

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04551

William and Dolores Parker, claimants vs. PaineWebber, Inc. and Pershing Division of Donaldson, Lufkin & Jenrette, respondents.

ATTORNEYS:

For Claimants appeared Stephen D. Spivey, Esq., Ocala, FL.

For Respondent PaineWebber, Inc. appeared in-house counsel, Amy Bard, Esq., Weehawken, NJ.

For Respondent Pershing Division of Donaldson, Lufkin & Jenrette Securities Corporation appeared in-house counsel, Jeffrey M. Bloch, Esq., Jersey City, NJ.

DATE FILED: October 7, 1999

CASE SUMMARY: Claimants alleged respondents breached their contractual duty to properly transfer shares of stock as requested thereby creating losses in claimants' accounts.

Claim Data

Claim: \$6,400.00

Interest: Unspecified

Atty Fees: \$1,500.00

Filing Fees: Unspecified

Award Data

Award: \$6,400.00

Interest: @ 10% per annum from 3/23/94 to date of award.

Atty Fees: \$1,500.00

Filing Fees: \$325.00

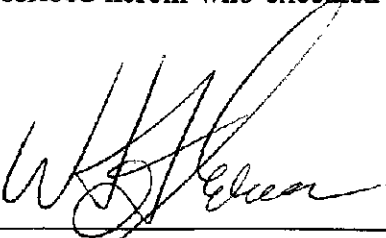
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent PaineWebber, Inc. is liable and shall pay to the claimant \$6,400.00. 2) All claims against respondent, Pershing Division of Donaldson, Lufkin and Jenrette Securities Corporation are dismissed in their entirety. 3) Respondent PaineWebber, Inc. is liable and shall pay to the claimant interest at the rate of 10% per annum from 3/23/94 to date of award. 4) Respondent PaineWebber, Inc. is liable and shall pay to the claimant \$1,500.00 in attorney fees according to claimants' request. 5) All other relief requests are denied. 6) The \$325.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 7) Respondent PaineWebber, Inc. is 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, respondents have each paid to NASD Dispute Resolution, Inc. the \$300.00 Member Surcharge previously invoiced.

AFFIRMATION

I, William H. Fleece, 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.



William H. Fleece

January 17, 2001
Date of award