

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04610

Sofia L. Dulay, claimant vs. Fidelity Investments a/k/a Fidelity Brokerage Services, Inc., respondent.

ATTORNEYS:

Claimant appeared Pro Se., Encino, CA.

For Respondent appeared in-house counsel, Richelle S. Kennedy, Esq., Boston, MA.

DATE FILED: October 12, 1999

CASE SUMMARY: Claimant alleged that respondent erroneously filled two limit orders for 20 contracts of AOL Sept. 90 puts. These orders were canceled due to a delay in having orders filled.

Claim Data

Claim: \$11,732.00
Filing Fees: unspecified

Award Data

Award: \$5,500.00
Filing Fees: \$212.50

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 \$5,500.00. 2) All other relief requests are denied. 3) The \$425.00 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 \$212.50 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 \$400.00 Member Surcharge previously invoiced.

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Award 99-04610

AFFIRMATION

I, Audrey Ruben, 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.

Audrey Ruben

Audrey Ruben

October 30, 2000

Date of Award