AWARD
FINRA DISPUTE RESOLUTION

CASE #: 13-00409
Sharaya Moore (Claimant) vs. Chase Investment Services Corp. (Respondent)

REPRESENTATION OF PARTIES:


NATURE OF DISPUTE: Customer vs. Member

Statement of Claim filed on or about: February 7, 2013.

CASE SUMMARY: Claimant asserted the following causes of action: unsuitability, negligent misrepresentation, breach of fiduciary duty, negligence and violations of state securities and consumer protection Acts, and respondeat superior.

The causes of action relate to the JP Morgan Investor Balanced Fund Class A.

RELIEF REQUESTED: In the Statement of Claim, Claimant requested:

Compensatory Damages: $14,101.59
Interest: 9% per annum
Costs: Unspecified
Other: Unspecified

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 for and shall pay to the Claimant compensatory damages in the amount of $14,101.59. 2) All other relief requests are denied. 3) FINRA Dispute Resolution shall retain the $425.00 filing fee that the Claimant deposited previously. 4) Respondent is liable for and shall pay to Claimant $425.00 to reimburse Claimant for the filing fee previously paid to FINRA Dispute Resolution.

OTHER FEES: Chase Investment Services Corp. has paid to FINRA Dispute Resolution the $425.00 Member Surcharge Fee previously invoiced.

OTHER ISSUES: The Arbitrator acknowledges that he has read the pleadings and other materials filed by the parties.
ARBITRATOR

James J. Fishman

Sole Public Arbitrator

I, the undersigned Arbitrator, do hereby affirm, pursuant to Article 7507 of the Civil Practice Law and Rules, that I am the individual described herein and who executed this instrument which is my award.

Arbitrator’s Signature

[Signature]

James J. Fishman
Sole Public Arbitrator

Signature Date

14 August 2013

August 14, 2013
Date of Service (For FINRA-DR office use only)