

**N.A.S.D. REGULATION AWARD**  
**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE: 96-04011

Jamal Herrera, claimant v. Greenway Capital Corp., respondent.

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**ATTORNEYS:**

Claimant appeared Pro Se - Mauldin, SC.

Respondent appeared Pro Se - New York, NY.

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**DATE FILED:** September 9, 1996.

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**CASE SUMMARY:** Claimant alleged that respondent sold his Teletex stock without knowledge or consent.

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**Claim Data**

Claim: \$10,000.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**

Award: \$5,000.00  
Punitive: \$5,000.00  
Atty Fees: \$.00  
Filing Fees: \$150.00  
Other: \$.00

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**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 \$5,000.00 in actual damages. 2) Respondent is liable and shall pay \$5,000.00 as punitive damages pursuant to claimant's request. 3) All other requests for relief are denied. 4) The \$150.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondent is liable and shall pay claimant \$150.00 as reimbursement of the filing fee.

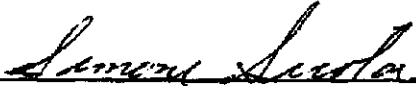
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**OTHER ISSUES:** The arbitrator considered the Statement of Answer submitted by respondent Greenway Capital Corp. on May 5, 1997.

Page Two  
Award 96-04011

**AFFIRMATION**

I, Simone Sicola, 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.

  
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Simone Sicola

June 25, 1997  
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Date of award