

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

CASE: 96-04041

John W. Braucht and Luella D. Braucht, claimants vs. Raymond James & Associates, Inc.,
respondent.

ATTORNEYS:

Claimant appeared Pro Se

For Respondents

John N. Critchlow, Esq., St. Petersburg, Florida

DATE FILED: September 11, 1996

CASE SUMMARY: Claimants alleged that they incurred a loss when respondent cancelled transactions in their stock/options account because of their age.

Claim Data

Claim: \$9,921.88

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

Award Data

Award: \$.00

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimants John W. Braucht and Luella D. Braucht are dismissed in their entirety. 2) All other requests for relief are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

AFFIRMATION

I, **Arthur R. Louv**, 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.



Arthur R. Louv, Esq.

June 9, 1997

Date of award