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

CASE: 96-04097

Ciro Balestriere and Frances Balestriere, claimants vs. Barnett Securities, Inc. and
Terry McCoy, respondents.

ATTORNEYS:

Claimants appeared Pro Se

For Respondents

Michael J. Marino, Esq., Jacksonville, FL

DATE FILED: September 13, 1996

CASE SUMMARY: Claimants alleged misrepresentation regarding the type of security that was purchased for their account.

Claim Data

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

Award Data

Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$75.00
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 Ciro & Frances Balestriere 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. Respondents are jointly and severally liable and shall pay claimant \$75.00 as reimbursement for one half of the filing fee.

OTHER ISSUES: The Arbitrator reviewed and considered all submissions regarding Respondents' Motion to Strike Additional Pleadings of claimants Ciro and Frances Balestriere. The arbitrator denied the request.

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AFFIRMATION

I, Seth L. Finkel, 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.



Seth L. Finkel, Esq.

June 4, 1997

Date of award