

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

CASE: 96-04132

Mukesh K. Thaker, claimant vs. Richard Dearcop, respondent.

ATTORNEYS:

Claimant appeared Pro Se

For Respondent

Donald E. Grossfield, Esq. Rochester, NY

DATE FILED: September 16, 1996

CASE SUMMARY: Claimant alleged misrepresentation, omission, unsuitability and sales pressure regarding Tellabs, Inc. ("TLAB") and Telco Technology, Inc. ("TTXI") stock transactions.

Claim Data

Claim: 1) TTXI - \$2,254.75
2) TLAB - to be determined
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Other: \$.00

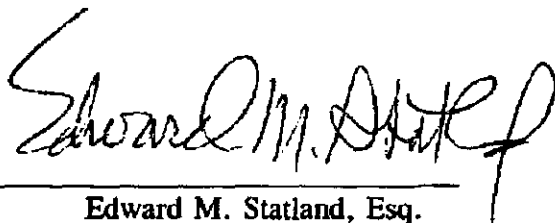
Award Data

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 claimant Mukesh K. Thaker are dismissed in their entirety. 2) All requests for attorneys fees are denied. 3) All other requests for relief are denied. 4) The \$50.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

AFFIRMATION

I, Edward M. Statland, Esq., 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.


Edward M. Statland, Esq.

June 24, 1997
Date of award