

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

CASE: 96-04356

Elizabeth B. Lewis, claimant v. Richard B. Bellinfante and Securities America, Inc., respondents.

ATTORNEYS:

For Claimant

Claimant appeared Pro Se - Tucson, AZ.

Respondent Richard Bellinfante appeared Pro Se - Tucson, AZ.

For respondent Securities America, Inc.

David O. Spinar, Esq. in-house counsel - Omaha, NE.

DATE FILED: September 30, 1996.

CASE SUMMARY: Claimant alleged omission of material fact, breach of fiduciary duty, unauthorized trades and failure to supervise in the sale of INTL stock.

Claim Data

Claim: \$7,594.09

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 against respondents are dismissed in their entirety. 2) All other requests for relief are denied. 3) 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.

OTHER ISSUES: The arbitrator reviewed all submissions regarding respondent Bellinfante's discovery request. The request was denied.

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Award 96-04356

AFFIRMATION

I, Robert A. Williams, Jr., 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.

Robert A. Williams, Jr.
Robert A. Williams, Jr.

June 19, 1997

Date of award