

9/11/00

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

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CASE: 96-04434

Stifel, Nicolaus & Company, Inc., Claimant v. Rick James Smith, Respondent

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**ATTORNEYS:**

For Claimant appeared Rochelle S. Hall, Esq. - St. Louis, Missouri.

Respondent appeared pro se - Orlando, Florida.

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DATE FILED: October 14, 1996

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**CASE SUMMARY:** Claimant alleged that Respondent Smith took control of account and took the money.

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**Claim Data**

Claim: \$9,256.00

Punitive: \$0.00

Attorneys' Fees: \$0.00

Filing Fees: \$0.00

Other: \$0.00

**Award Data**

Award: \$9,256.00

Punitive: \$0.00

Attorneys' Fees: \$0.00

Filing Fees: \$0.00

Other: \$0.00

**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: (1) Respondent be and hereby is liable and shall pay to the Claimant the sum of \$9,256.00. (2) All other requests for relief are hereby denied. (3) The 675.00 filing fee previously deposited by the Claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc.

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**OTHER ISSUES:** After careful consideration, respondent's motion for dismissal on the grounds of lack of jurisdiction is denied.

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Page Two  
Award 96-04434

**AFFIRMATION**

I, David A. Weintraub, 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.



David A. Weintraub

November 28, 1997

Date of award