

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

CASE: 96-04562

Sidney & Bernice Davis, claimants v. State Street Capital Markets Corp., respondent.

---

**ATTORNEYS:**

Claimants appeared Pro Se., Hollywood, FL.

For Respondent

Respondent appeared Pro Se through John Doukas - New York, NY.

---

**DATE FILED:** October 14, 1996.

---

**CASE SUMMARY:** Claimants alleged respondents failed to follow instructions in the sale of warrants and stock.

---

**Claim Data**

Claim: \$7,250.00 plus interest.

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

---

**Award Data**

Award: \$7,000.00

Punitive: \$.00

Atty Fees: \$.00

Filing Fees: \$150.00

Other: \$.00

---

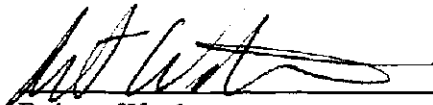
**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimants \$7,000.00. 2) All other requests for relief are denied. 3) The \$150.00 filing fee previously deposited by the claimants with National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondent is liable shall pay claimants \$150.00 as reimbursement of the filing fee.

---

**OTHER ISSUES:** Immediately upon receipt of the Award from the Respondent, Claimants must return to Respondent in negotiable form the 500 shares and 500 warrants of Worldwide Cable & Co., Inc.

**AFFIRMATION**

I, Robert Wachterman, 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 Wachterman

June 5, 1997

Date of award