

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

CASE: 96-05211

Gaile Canfield, claimant vs. Nations Securities and Beth A. Mayberry, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Sarasota, FL.

For Respondents appeared Richard B. Warren, Esq., of the firm Kelley, Aldrich & Warren, P.A., West Palm Beach, FL.

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**DATE FILED:** November 22, 1996.

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**CASE SUMMARY:** Claimant alleged that respondents recommended "round trip" transaction was inappropriate, resulting in incurred tax liability and commission charges.

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**Claim Data**

Claim: \$6,953.11  
 Interest: Unspecified  
 Punitive: \$.00  
 Atty Fees: \$.00  
 Filing Fees: \$.00  
 Costs: \$.00

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**Award Data**

Award: \$2,561.11  
 Interest: \$.00  
 Punitive: \$.00  
 Atty Fees: \$.00  
 Filing Fees: \$75.00  
 Costs: \$.00

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**Claim Date:**

Claim Date: \$6,953.11

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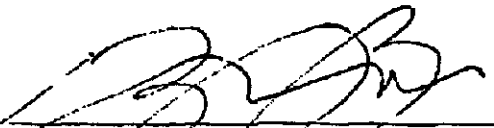
**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$2,561.11. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 4) Respondents are jointly and severally liable and shall pay claimant \$75.00 as reimbursement of half the filing fee.

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**AFFIRMATION**

I, Bradley S. Bailey, 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.

  
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Bradley S. Bailey

September 25, 1997  
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Date of award