

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

CASE: 96-05271

Otto H. Hofmann and Waltraut F. Hofmann, claimants vs. H.J. Meyers & Co. Inc., respondent.

ATTORNEYS:

Claimants appeared Pro Se, Millbrae, CA.

For Respondent appeared Paul J. Delmore, Esq., of the firm Edwards, Sooy & Byron, San Diego, CA.

DATE FILED: November 26, 1996.

CASE SUMMARY: Claimant alleged that as a result of fraudulent statements and promises made by respondent's former registered representative he was lured into making unsuitable investments in Socket Communications stock.

Claim Data

Claim: \$8,029.96
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$.00
Costs: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$75.00
Costs: \$.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 claimants are dismissed in their entirety. 2) All requests for attorney fees and costs are denied. 3) All other relief requests are denied. 4) 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. 5) Respondent is liable and shall pay claimant \$75.00 as reimbursement for one half of the filing fee.

OTHER ISSUES: The arbitrator reviewed and considered respondent's Motion to Strike Supplemental Pleadings. The arbitrator denied the motion.

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AFFIRMATION

I, Irving Pfeffer, 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.


Irving Pfeffer

September 25, 1997
Date of award