

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

CASE: 96-05656

Elaine Weiner, claimant v. Kevin Mahon and Marsh, Block & Co., Inc., respondents.

ATTORNEYS:

For Claimant

Claimant appeared pro se - Bronxville, NY.

Respondent Kevin Mahon appeared pro se - New York, NY.

For respondent Marsh, Block & Co., Inc. appeared David W. Parsons, Esq. - New York, NY.

DATE FILED: December 20, 1996.

CASE SUMMARY: Claimant alleged unauthorized trading, negligence and breach of fiduciary duty in regard to purchase of New World Communications Group stock.

Claim Data

Claim: \$6,609.50
Interest: 10% from 10/17/96 until paid.
Punitive: \$.00
Atty Fees: \$.00
Filing Fees: \$150.00
Other: \$1,000.00

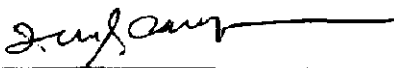
Award Data

Award: \$5,725.00
Interest: \$.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) Respondents are jointly and severally liable and shall pay to the claimant \$5,725.00. 2) All requests for attorney fees are denied. 3) All other requests for relief are denied. 4) Claimant's Motion to Bar pursuant to Rule 10314(b)(2)(C) is denied. 5) 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.

AFFIRMATION

I, Neil J. Carey, do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Neil J. Carey

June 25, 1997

Date of award