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

CASE: 96-05661

Neil P. Young, claimant vs. A.S. Goldmen & Co. Inc., Joseph Falco and Michael Cilmi, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Mill Valley, CA

For Respondent A.S. Goldmen & Co. Inc., appeared Carole R. Bernstein, Esq., Norwalk, CT.

Respondent Joseph Falco appeared Pro Se, Staten Island, NY

Respondent Michael Cilmi appeared Pro Se, South Cairo, NY

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**DATE FILED:** December 23, 1996

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**CASE SUMMARY:** Claimant alleged that an order to sell his shares of Sports Media, Inc. and Winfield Capital warrants was not executed and that an unauthorized purchase was made for Winfield Capital stock.

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**Claim Data**

Claim: \$4,999.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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**Award Data**

Award: \$.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

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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) The claims of claimant are dismissed in their entirety. 2) All other requests for relief are denied. 3) The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by claimant shall be retained by NASD Regulation, Inc.


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**OTHER ISSUES:** The Arbitrator considered respondents' Motion/Requests for Dismissal. The motion/requests were denied.

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Award 96-05661.

**AFFIRMATION**

I, Jane Bradley, 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.

  
Jane Bradley, Esq.

August 11 1997  
Date of award