

**N.A.S.D. REGULATION AWARD**

**NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.**

CASE: 96-05725

Oriane De Straschnov, claimant v. Merrill Lynch Pierce Fenner & Smith Inc, respondent.

**ATTORNEYS:**

For Claimant

Claimant appeared pro se - located in Scottsdale, AZ.

For Respondent appeared Kevin P. Kane, Esq. located in New York, NY.

**DATE FILED:** 12/24/96.

**CASE SUMMARY:** Claimant alleged failure to follow directions by exchanging into the wrong mutual fund and entering wrong numbers.

**Claim Data**

Claim: \$1,783.38

Filing Fees: \$.00

Other: \$.00

**Award Data**

Award: \$13.38

Filing Fees: \$25.00

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 claimant \$13.38. 2) All other requests for relief are denied. 3) The \$50.00 filing fee previously deposited by the claimant with the National Association of Securities Dealers Regulation, Inc. shall be retained by NASD Regulation, Inc. Respondent is liable and shall pay claimant \$25.00 as reimbursement of 50% of his filing fee.

**OTHER ISSUES:** The amount awarded - difference between original sale proceed if done correctly and original purchase cost if done correctly on June 3, 1996 - does not appear to have been credited on any of the claimant's statements. All other matters seem to have been adjusted appropriately.

**AFFIRMATION**

I, Stan West, 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.



Stan West

July 30, 1997

Date of award