

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

CASE: 96-05752

Peter Kotzer, claimant vs. First Hanover Securities, Inc. and Brandt Mandia, respondents.

**ATTORNEYS:**

For Claimant appeared J. Alexander Davidson, Esq., of the law firm Carroll, Carroll, Davidson, Franklin and Young, Syracuse, NY.

For Respondents appeared Charles M. O'Rourke, Esq., Garden City, NY.

DATE FILED: December 26, 1996.

CASE SUMMARY: Claimant alleged unauthorized transactions regarding his investments in Toys R Us and Allied Devices Corp. common stock.

**Claim Data**

Claim: \$8,770.00  
Atty Fees: \$1,200.00  
Filing Fees: \$.00  
Other: \$.00

**Award Data**

Award: \$.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) The claims of claimant are dismissed in their entirety. 2) All requests for attorney fees 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.

OTHER ISSUES: The arbitrator denied respondent Brandt Mandia's request for expungement of his CRD records.

**AFFIRMATION**

I, Robert Gleichenhau, Esq., 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.

  
Robert Gleichenhau

August 27, 1997

Date of Award