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

CASE: 96-05756

Alan H. Stein, claimant v. Michael Eugene Kingman, respondent.

**ATTORNEYS:**

For Claimant

Claimant appeared pro se - Rego Park, NY.

Respondent appeared pro se - New York, NY.

**DATE FILED: 12/26/96**

**CASE SUMMARY:** Claimant alleged misrepresentation in the sale of warrants for Leak-X Environmental Corp. and stock in American Complex Care, Inc.

**Claim Data**

Claim: \$5,711.25  
Punitive: \$1,000.00  
Atty Fees: \$.00  
Filing Fees: \$.00  
Other: \$.00

**Award Data**

Award: \$2,050.00  
Punitive: \$.00  
Atty Fees: \$.00  
Filing Fees: \$75.00  
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 \$2,050.00. 2) All requests for punitive damages are denied. 3) All other requests for relief are denied. 4) 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. Respondent is liable and shall pay claimant \$75.00 as reimbursement of one-half of the filing fee.

**AFFIRMATION**

I, Richard W. Vallario, 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.



Richard W. Vallario, Esq.

June 19, 1997

Date of award