

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

CASE: 97-06020

Eugene M. Whitman, claimant vs. Marc Felice and J.W. Barclay & Co. Inc., respondents.

ATTORNEYS:

Claimant appeared Pro Se, Boca Raton, FL.

For Respondents appeared Compliance Director, Theo S. Basis, New York, NY.

DATE FILED: December 29, 1997

CASE SUMMARY: Claimant alleged that respondents disregarded his order to sell 1100 shares of Tellurian (TRLN) stock and also withheld pertinent information about the stock.

Claim Data

Claim: \$2,345.00

Punitive: \$1,000.00

Atty Fees: \$.00

Filing Fees: \$.00

Award Data

Award: \$.00

Punitive: \$.00


Atty Fees: \$.00

Filing Fees: \$62.50

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 requests for punitive damages are denied. 4) All other relief requests are denied. 4) The \$125.00 filing fee previously deposited with National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 5) Respondents are jointly and severally liable and shall pay claimant \$62.50 as reimbursement for half of the filing fee. 6) Member surcharge of \$200.00 was assessed against respondent J.W. Barclay & Co. Inc., pursuant to Rule 10333 of the NASD Code of Arbitration Procedure.

AFFIRMATION

I, Allen Kilik, 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.



Allen Kilik

May 20, 1998

Date of award