

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

CASE: 98-00042

Miguel A. Bustillo, claimant vs. Olde Discount Corporation and Ken Frank, respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se, Falls Church, VA.

For Respondents appeared in-house counsel, Amy Kutt Richards, Esq., Detroit, MI.

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**DATE FILED:** January 5, 1998.

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**CASE SUMMARY:** Claimant alleged that he placed a limit order to purchase Del Global Technologies Corp. stock, but respondents failed to follow his instructions and purchased the stock at the market price.

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**Claim Data**

Claim: \$3,937.34

Atty Fees: \$.00

Filing Fees: \$.00

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**Award Data**

Award: \$.00

Atty Fees: \$.00

Filing Fees: \$.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) Any reference to this matter which may be required by the NASD or NYSE, should be expunged from the registration record of respondent Ken Frank. 3) All requests for attorney fees are denied. 4) All other relief requests are denied. 5) 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. 6) Member surcharge of \$200.00 was assessed against respondent Olde Discount Corporation.

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**AFFIRMATION**

I, Maurice R. Dunie, 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.

  
Maurice R. Dunie

May 20, 1998

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Date of award

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