

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

CASE: 98-00247

Mildred Buller, claimant vs. Alex Solomon and Goldis Financial Group, Inc., respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se. - New York, NY

For Respondents appeared Allison M. Johnson, Esq. - Uniondale, NY

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DATE FILED: 1/20/98

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CASE SUMMARY: Claimant alleged failure to inform of opportunity to sell and breach of professional duty.

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**Claim Data**

Claim: \$9,450.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

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**Award Data**

Award: \$.00

Atty Fees: \$.00

Filing Fees: \$.00

Other: \$.00

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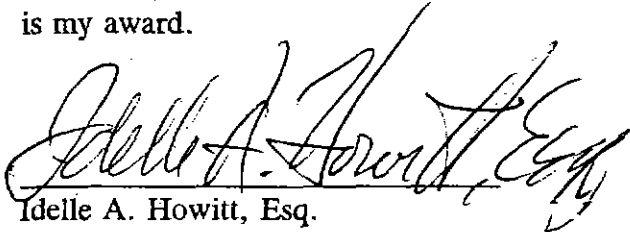
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$150.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

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OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

AFFIRMATION

I, Idelle A. Howitt, 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.

  
Idelle A. Howitt, Esq.

September 17, 1998

Date of Award