

N.A.S.D. REGULATION, INC. AWARD

CASE: 98-00389

Siham K. Toma, claimant vs. Michael Mortenson and Joseph Charles & Associates, Inc., respondents.

ATTORNEYS:

For claimant appeared David H. Zimmer, Esq. - Greenwich, CT.

Respondents did not appear.

DATE FILED: 2/9/98

CASE SUMMARY: Claimant withdrew his allegations.

Claim Data

Claim: \$3,381.16
Interest: Requested
Punitive: \$5,000.00
Atty Fees: Requested
Filing Fees: \$150.00
Other: \$.00

Award Data

Award: \$.00
Interest: \$.00
Punitive: \$.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 requests for punitive damages are denied. 4) All other relief requests are denied. 5) 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.

ARBITRATOR'S REPORT: All references to this action in the CRD are ordered deleted and expunged as claimant acknowledged the claim was brought in error and dismissed with prejudice. Therefore, based on the merits of this case, the claim of claimant Siham K. Toma against respondents Michael Mortenson and Joseph Charles & Associates, Inc., shall be expunged from their permanent CRD record by NASD Regulation, Inc.

Page Two
Award 98-00389

AFFIRMATION

I, John P. Cullem, Esq., 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.



John P. Cullem, Esq.

November 6, 1998

Date of award