

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

CASE: 98-00390

John C. Knox & Sons Partnership, claimant vs. Biltmore Securities, Inc., respondent.

---

**ATTORNEYS:**

Claimant appeared Pro Se, Lewistown, PA.

For Respondent Appeared its in-house counsel, William Nortman, Esq., Fort Lauderdale, FL.

---

**DATE FILED:** February 2, 1998.

---

**CASE SUMMARY:** Claimant alleged that respondent failed to issue 50 shares of Tricon Global Restaurant, Inc.

---

**Claim Data**

Claim: \$1,812.50

Costs: \$500.00

Filing Fees: \$50.00

---

**Award Data**

Award: \$.00

Costs: \$500.00

Filing Fees: \$50.00

---

**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 \$500.00 in costs. 2) All other relief requests are denied. 3) The \$50.00 filing fee previously deposited with National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 4) Respondent is liable and shall pay claimant \$50.00 as reimbursement of the filing fee.

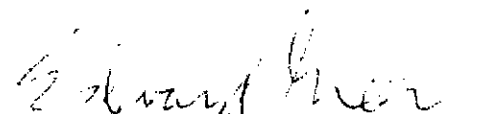
---

**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

---

**AFFIRMATION**

I, Edward Greer, 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.

  
Edward Greer

August 24, 1998

---

Date of award