

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

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CASE: 98 - 00491

Frances O'Donald, claimant vs. Bailey Spears and Schneider Securities Inc., and James R. Shaw respondents.

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### **ATTORNEYS:**

Claimant appeared Pro Se. - Neptune Beach, FL.

Respondent Bailey Spears appeared Pro Se. - Norcross, GA.

For respondent Schneider Securities, Inc. appeared Siegfried Duray-Bito - Denver, CO.

Respondent James R. Shaw is not a member and did not agree to submit to arbitration.

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DATE FILED: 2/9/98

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**CASE SUMMARY:** Claimant alleged issue to be determined involves claimant having been persuaded by phone to purchase stock in a rapidly expanding restaurant company, et al.

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### **Claim Data**

Claim: \$6,340.00  
Interest: \$.00  
Filing Fees: \$.00  
Other: \$.00

### **Award Data**

Award: \$.00  
Interest: \$.00  
Filing Fees: \$75.00  
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. 4) Schneider Securities, Inc., settled with claimant on 6/29/98. 5) Respondent Bailey Spears shall pay claimant \$75.00 as reimbursement of one-half of the filing fee.

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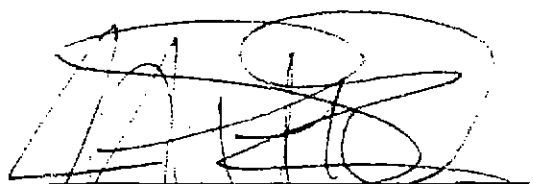
**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Schneider Securities Inc. has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, James A. Smith, IV, 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.



James A. Smith, IV

December 16, 1998

Date of award