

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

CASE: 99-00241

Sharon Klinger, claimant vs. Albert Kelsey and Guardian Investor Services Corporation, respondents.

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**ATTORNEYS:**

Claimant, Sharon Klinger ("Klinger"), appeared Pro Se., Anacortes, WA.

Respondent, Albert Kelsey ("Kelsey"), appeared Pro Se., Seattle, WA.

Respondent, Guardian Investor Services Corporation ("Guardian"), did not respond to Claimant's Statement of Claim in this matter.

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DATE FILED: 01/19/99

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CASE SUMMARY: Claimant alleged that assets were transferred from her Guardian Stock Fund to the Guardian Cash Fund without her permission.

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**Claim Data**

Claim: \$500.00

Specific Performance: Request that a separate account be opened in the name of Keith Klinger in the amount of \$15,372.88

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**Award Data**

Award: \$.00

Specific Performance: Request denied

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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) The \$30.00 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, Guardian, has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

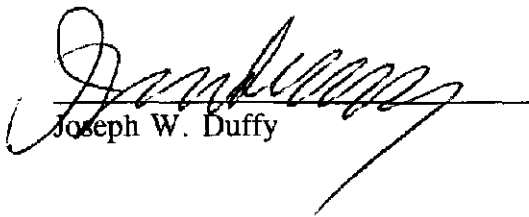
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OTHER ISSUES: Pursuant to the By-Laws of NASD Regulation, the arbitrator determined that respondent, Guardian, was served notice of the Statement of Claim, Overdue Notice and Notification of Arbitrator by regular mail, as evidenced by the signed signature card on file and is therefore bound by the arbitrator's ruling and determination.

Page Two  
Award 99-00241

**AFFIRMATION**

I, Joseph W. Duffy, 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.

  
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Joseph W. Duffy

February 23, 2000  
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Date of award