

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

CASE: 99-00242

Rudolph Primuth, claimant vs. Bluestone Capitol Partners, L.P., respondent.

ATTORNEYS:

Claimant, Rudolph Primuth, appeared Pro Se., Racine, WI.

For Respondent, Bluestone Capital Partners, L.P., appeared
David S. Richan, Esq. of the firm Tenzer Greenblatt, L.L.P., New York, NY.

DATE FILED: 01/20/99

CASE SUMMARY: Claimant alleged that when on 8/26/98 claimant attempted to transfer 200 shares of CNC from claimant's account with respondent to another brokerage firm respondent was unable to locate claimant's shares, and did not locate claimant's shares until 1/14/99.

Claim Data

Claim: \$5,583.90

Filing Fees: \$.00

Award Data

Award: \$5,583.90

Filing Fees: \$150.00

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 \$5,583.90. 2) 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. 3) Respondent is liable and shall pay claimant \$150.00 as reimbursement of the filing fee.

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

OTHER ISSUES: The Arbitrator denied respondent's Motion to Dismiss.

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Award 99-00242

AFFIRMATION

I, Andrew J. Zafis, 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.


Andrew J. Zafis

December 6, 1999

Date of award