

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

CASE: 99-00449

Robert F. Newton, claimant vs. J.C. Bradford & Co., respondent.

ATTORNEYS:

Claimants, Robert F. Newton, appeared Pro Se., Raleigh, NC.

Respondent appeared through its Assistant General Counsel, Claude O. Ramer II, Esq., Nashville, TN.

DATE FILED: 02/01/99

CASE SUMMARY: Claimant alleged respondent was negligent and mishandled claimant's account. In addition, respondent withdrew funds from claimant's account without written or verbal authorization on January 26, 1994. Further, respondent improperly issued and negotiated monthly interest checks from 1992 through 1994 by forging claimant's signature.

Claim Data

Claim: \$25,000.00

Award Data

Award: \$.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) 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.

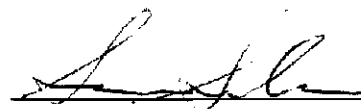
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

OTHER ISSUES: Pursuant to Rule 10302(f) of the Code the Arbitrator denied respondent's request for a hearing.

Page Two
Award 99-00449

AFFIRMATION

I, Simone Sicola, 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.



Simone Sicola

December 9, 1999

Date of award