

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

CASE: 99-00750

Samuel P. Hinson, Sr. and Vera D. Hinson, claimants vs. Wall Street Access, respondent.

ATTORNEYS:

Claimant Samuel P. Hinson and Vera D. Hinson ("Claimants"), appeared Pro Se., Petersburg, VA.

For Respondent Wall Street Access ("Respondent"), Joseph A. Mendola, Vice President of Compliance for Wall Street Access, New York, NY.

DATE FILED: February 19, 1999

CASE SUMMARY: Claimants alleged that they were misguided in setting up an on-line trading account with the Respondent. Claimants further alleged that Respondent engaged in an unauthorized trade in their account and as a result they suffered financial loss.

Claim Data

Claim: \$16,616.17

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) 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.

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

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Award 99-00750

AFFIRMATION

I, Edward A. Dragon, 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 A. Dragon
Edward A. Dragon

05/19/00
Date of award