

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

CASE: 99-00818

Merrill Lynch, Pierce, Fenner & Smith, Inc., claimant vs. George Block individually, and d/b/a Block and Associates, respondents.

ATTORNEYS:

For Claimant appeared Suzanne S. Killian, Esq. and Jack D. Ballard, Esq. of the firm Ogden, Gibson, White & Broocks, L.L.P., Houston, TX.

Respondents failed to file a Statement of Answer.

DATE FILED: 2/23/99

CASE SUMMARY: Claimant alleged that respondents have failed to pay outstanding debit balances on their respective accounts.

Claim Data

Claim: \$2,093.23
Atty Fees: Reasonable
Filing Fees: \$.00
Interest: @ rate of 18% per annum
Other: Unspecified

Award Data

Award: \$2,093.23
Atty Fees: \$5,000.00
Filing Fees: \$575.00
Interest: @ rate of 18% per annum
from 2/1/98 to date of award
Other: \$.00

AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondents are jointly and severally liable and shall pay to the claimant \$2,093.23. 2) Respondents are jointly and severally liable and shall pay to claimant reasonable attorney fees in the amount of \$5,000.00. 3) Respondents are jointly and severally liable and shall pay to claimant interest at the rate of 18% per annum from 2/1/98 to the date of the award. 4) All other relief requests are denied. 5) The \$575.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 6) Respondents are jointly and severally liable and shall pay claimant \$575.00 as reimbursement of the filing fee.

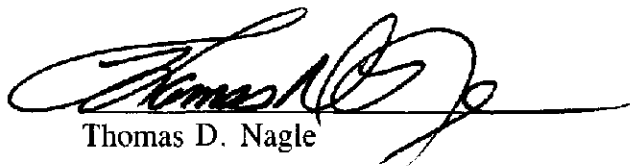
OTHER FEES: Pursuant to Rule 10333 of the Code, claimant has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

OTHER ISSUES: The Arbitrator denied respondents' Motion to Dismiss.

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AFFIRMATION

I, Thomas D. Nagle, 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.


Thomas D. Nagle

December 16 1999
Date of award