

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

CASE: 99-01041

Lauree A. Stolarczyk, claimant vs. McDonald Investments, Inc., and James Schneider, respondents.

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**ATTORNEYS:**

Claimant Lauree A. Stolarczyk, appeared Pro Se., St. Paul, Minnesota.

For Respondent McDonald Investments, Inc. ("McDonald"), Henry V. Kerr, Esq., Senior Vice President and General Counsel of McDonald Investments, Inc., Cleveland, Ohio.

Respondent James Schneider ("Schneider"), appeared Pro Se., Ft. Wayne, Indiana.

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DATE FILED: 03/08/1999

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**CASE SUMMARY:** Claimant alleged that in the Fall of 1998, without authorization, Respondents sold 95 shares of Mycogen held in her account and purchased shares of Gradison stock.

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**Claim Data**

Claim: \$2,660.00

Filing Fees: \$.00

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**Award Data**

Award: \$1,000.00

Filing Fees: \$125.00

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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) Respondents McDonald and Schneider are hereby jointly and severally liable and shall pay to the claimant \$1,000.00. 2) The \$125.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 3) Respondents McDonald and Schneider are jointly and severally liable and shall pay claimant \$125.00 as reimbursement of the filing fee.

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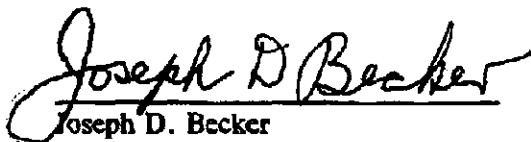
**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent McDonald Investments, Inc., has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-01041

AFFIRMATION

I, Joseph D. Becker, 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.

  
Joseph D. Becker

February 11, 2000  
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Date of award