

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

CASE: 99-01046

Norbert Weissinger, claimant vs. PaineWebber, Inc., and Steve Redman, respondents.

ATTORNEYS:

Claimant Norbert Weissinger appeared Pro Se., Mandeville, LA.

For Respondents PaineWebber, Inc., and Steve Redman, appeared in-house counsel,
Amy Bard, Esq., Weehawken, NJ.

DATE FILED: 3/8/1999

CASE SUMMARY: Claimant alleged that his stock was improperly liquidated as a result of a margin call.

Claim Data

Claim: \$10,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
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) The claims of claimant are dismissed in their entirety. 2) Claimant does not owe any additional monies to respondent. 3) All other relief requests are denied. 4) 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. 5) Respondent PaineWebber, Inc., is hereby liable and shall pay claimant \$150.00 as reimbursement of the filing fee.

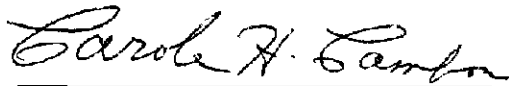
OTHER FEES: Pursuant to Rule 10333 of the Code, respondent PaineWebber, Inc., has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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

Page Two
Award 99-01046

AFFIRMATION

I, Carole H. Cambon, Esq., 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.



Carole H. Cambon, Esq.

January 20, 2000

Date of award