

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

CASE: 99-01089

G. Keith Dolan, claimant vs. Winchester Investment Securities, Inc., respondent.

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**ATTORNEYS:**

Claimant G. Keith Dolan ("Claimant"), appeared Pro Se., Solana Beach, California.

For Respondent Winchester Investment Securities, Inc., Alan Miller, Winchester Investment Securities, Inc., Overland Park, Kansas.

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DATE FILED: 03/09/1999

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**CASE SUMMARY:** Claimant alleged that Respondent charged higher commission fees than he had agreed upon with Claimant. Additionally, Claimant alleged that although he cancelled his sell order for shares of Unisys, Respondent executed the sale of the Unisys stock.

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**Claim Data**

Claims: \$2,350.00

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**Award Data**

Award: \$.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) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$50.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

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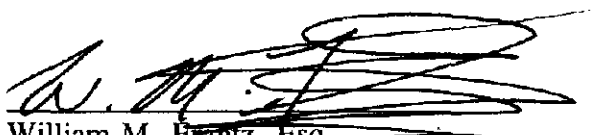
**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Winchester Investment Securities, Inc., has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 99-01089

**AFFIRMATION**

I, William M. Frantz, 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.



William M. Frantz, Esq.

January 31, 2000

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Date of award