

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

CASE: 99-01118

Robert E. Wagner, claimant vs. Olde Discount Corporation, respondent.

ATTORNEYS:

Claimant appeared Pro Se., Kent, Washington.

For Respondent Olde Discount Corporation, appeared in-house counsel, Kathleen A. Mulcahy, Esq., Detroit Michigan.

DATE FILED: 3/10/1999

CASE SUMMARY: Claimant alleged that on July 21, 1997 Respondent, without his approval purchased shares of common stock for his account.

Claim Data

Claim: \$516.28
Specific Performance: transfer of 110
shares of Microsoft common stock out of
Olde discount Brokerage.
Interest: \$77.97
Filing Fee: \$0.00
Costs: \$400.00

Award Data

Award: \$0.00
Specific Performance: denied

Interest: \$0.00
Filing Fee: \$15.00
Costs: \$0.00

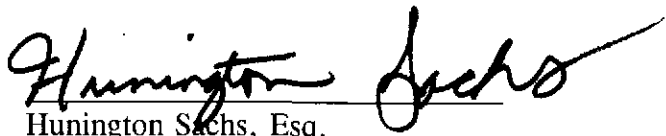
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other specific performance requests are denied. 3) The \$30.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 4) Respondent shall pay claimant \$15.00 as reimbursement for half of the filing fee.

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

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AFFIRMATION

I, Hunington Sachs, 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.


Hunington Sachs, Esq.

December 9, 1999
Date of award