

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

CASE: 99-01548

Karoly Szasz, claimant vs. Scottsdale Securities, Inc., respondent.

ATTORNEYS:

Claimant Karoly Szasz ("Claimant"), appeared Pro Se., Wooster, OH.

For Respondent Scottsdale Securities, Inc. ("Respondent"), Mark Finnegan, Compliance Manager, Scottsdale Securities, Inc., St. Louis, MO.

DATE FILED: April 1, 1999

CASE SUMMARY: Claimant alleged that due to Respondent's negligence and technical difficulties with their telephone lines, Claimant sustained losses to her account.

Claim Data	Award Data
Claim: \$24,541.00	Award: \$.00
Interest: Unspecified	Interest: \$.00
Filing Fees: Unspecified	Filing Fees:\$212.50
Costs: Unspecified	Costs: \$.00
Other: Unspecified	Other: \$.00

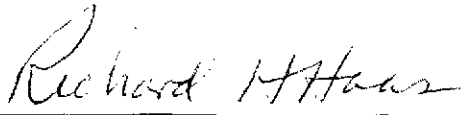
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All requests for interests are denied. 3) All other relief requests are denied. 4) The \$425.00 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 is liable and shall pay Claimant \$212.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, Scottsdale Securities Inc., has paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Richard H. Haas, 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.


Richard H. Haas

April 3, 2000
Date of award