

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

CASE: 99-01625

Yolande Assad, claimant vs. Steven Schwartz and Werbel-Roth Securities, Inc., respondents.

ATTORNEYS:

Claimant Yolande Assad ("Claimant") appeared Pro Se., Woodside, New York.

For Respondents Werbel-Roth Securities, Inc. ("Werbel-Roth") and Steven Schwartz ("Schwartz"), Niel S. Baritz, Esq., Dreier & Baritz, Boca Raton, Florida.

DATE FILED: 04/07/1999

CASE SUMMARY: Claimant alleged that on February 3, 1997, Respondent Schwartz caused her to enter into a transaction that she was told would triple in value in three months. Claimant maintained that the transaction was not suitable and that subsequent to this event, Respondent Schwartz entered into additional transactions without her knowledge or permission.

Claim Data

Claim: \$25,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
Filing Fees: \$212.50

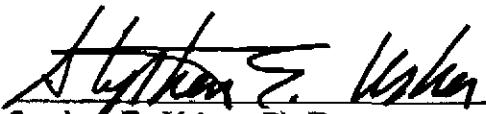
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 4) Respondents are jointly and severally liable and shall pay claimant \$212.50 as reimbursement of the filing fee.

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

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Award 99-01625

AFFIRMATION

I, Stephen E. Usher, do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.


Stephen E. Usher, Ph.D.

March 7, 2000

Date of ~~A~~ward