

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

CASE: 99-01732

Bach Thanh and Hue Van Cao, claimant vs. Thomas F. White & Co., Inc., respondent.

ATTORNEYS:

Claimants, Bach Thanh and Hue Van Cao, appeared Pro Se., Fremont, CA.

Respondent, Thomas F. White & Co., Inc., appeared through its staff attorney, Michael Bolgatz, Esq., San Francisco, CA.

DATE FILED: 4/13/99

CASE SUMMARY: Claimant alleged that respondent accidentally executed a short-sale of 1000 shares of Asyst Technologies, Inc. (Asyst), for which respondent offered to pay for half of the loss. Claimants alleged that respondents were entirely accountable for the short-sale transaction, therefore should reimburse claimants in full.

Claim Data

Claim: \$4,168.44
Filing Fees: \$.00

Award Data

Award: \$3,126.33
Filing Fees: \$116.68

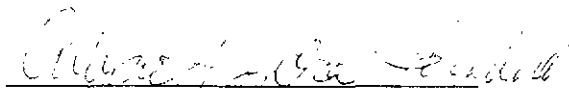
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the claimant \$3,126.33. 2) The \$175.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 3) Respondent is liable and shall pay claimant \$116.68 as reimbursement of two thirds of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-01732

AFFIRMATION

I, Arlyne Sandra Bernhard, 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.


Arlyne Sandra Bernhard

March 9, 2000
Date of award