

**NASD DISPUTE RESOLUTION AWARD**  
**NASD DISPUTE RESOLUTION, INC.**

CASE: 99-02071

Robert Maylan, claimant vs. Michael Freeman, Andrea Ratkowski and Freeman Welwood & Co., Inc., respondents.

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**ATTORNEYS:**

Claimant appeared Pro Se., Seattle, WA.

Respondents appeared through Andrea Ratkowski, Vice President of Freeman Welwood & Co., Inc.

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DATE FILED: May 4, 1999

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**CASE SUMMARY:** Claimant alleged that respondents verbally and through written confirmation sold 10,000 shares of Striker Industries (SKRI). Claimant further alleged that due to a ticker symbol error, respondents sold 10,000 shares of Silver King Resources instead, creating a loss in his account. Respondents in their counterclaim alleged that the sale of 10,000 shares of Silver King Resources created a short position in claimant's account resulting in a debit balance which is still outstanding.

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**Claim Data**

Claim: \$5,000.00  
Filing Fees: \$.00

**Award Data**

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

**Counterclaim Data**

Claim: \$3,904.44  
Filing Fees: \$.00

**Award Data**

Award: \$3,904.44  
Filing Fees: \$.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) Claimant is liable and shall pay to respondent Freeman Welwood & Co., Inc. \$3,903.44. 3) All other relief requests are denied. 4) The \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc. 5) The \$525.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the respondents, shall be retained by NASD Dispute Resolution, Inc.

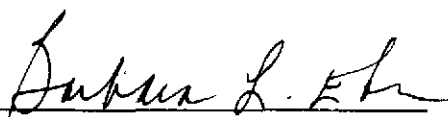
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**OTHER FEES:** Pursuant to Rule 10333 of the Code, respondent Freeman Welwood & Co. Inc. has paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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**AFFIRMATION**

I, Barbara L. Edin, 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.

  
Barbara L. Edin

November 3, 2000  
Date of Award