

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-02174

Estate of Steven F. Ondra, Claimant vs. Baxter Banks and Smith Ltd., Respondent.

ATTORNEYS:

Claimant appeared Pro, Se., through it Personal Representative, Arlene K. Kotecki ("Claimant"). Dyer, IN.

For Respondent, Baxter Banks and Smith Ltd., ("Respondent"), appeared Martin McDermott, Baxter Banks and Smith, Ltd., St. Petersburg FL.

DATE FILED: May 5, 1999

CASE SUMMARY: Claimant alleged that Respondent failed to honor her request to sell the stock in her father's account and forward proceeds to his estate. Claimant further alleged that upon her first request to sell the stocks the value was approximately \$1.75 per share, however, after follow up call by husband they were finally sold at \$.28 per share.

Claim Data

Claim: \$4,416.28
Filing Fees: Unspecified
Other: Unspecified

Award Data

Award: \$4,410.00
Filing Fees: \$87.50
Other: \$.00

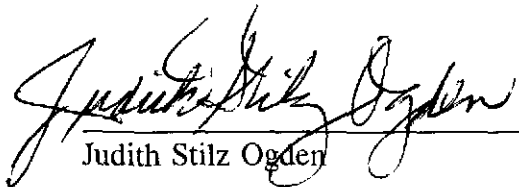
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is liable and shall pay to the Claimant \$4,410.00. 2) All other relief requests are denied. 3) The \$175.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the Claimant, shall be retained by NASD Dispute Resolution, Inc. 4) Respondent is liable and shall pay Claimant \$87.50 as reimbursement for one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent has not paid to NASD Dispute Resolution, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-02174

AFFIRMATION

I, Judith Stilz Ogden, 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.


Judith Stilz Ogden

October 3, 2000
Date of award