

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

CASE: 99-02320

Sheldon Wolf, IRA, claimant vs. Discover Brokerage Direct, Inc., respondent.

ATTORNEYS:

Claimant Sheldon Wolf ("Claimant") appeared Pro Se., Tampa, Florida.

For Respondent Discover Brokerage Direct, Inc. ("Respondent"), Judith M. Rosenberg, Esq.,
Discover Brokerage Direct, Inc., San Francisco, California.

DATE FILED: 05/20/1999

CASE SUMMARY: Claimant alleged that Respondent negligently failed to send a Simple IRA Form as opposed to the Individual IRA Form that was initially executed in error.

Arbitrator Report: Claimant failed to state a verified and supportable claim against Respondent.

Claim Data

Claim: \$4,993.00

Award Data

Award: \$.00

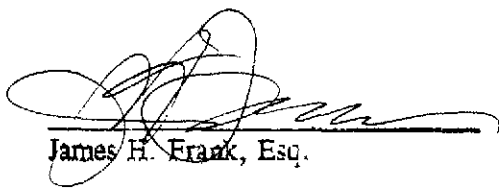
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are hereby denied. 3) The \$175.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc.

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

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Award 99-02320

AFFIRMATION

I, James H. Frank, 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.



James H. Frank, Esq.

March 7, 2000
Date of award