

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

CASE: 99-02461

Jack Braumiller, Jr., claimant vs. American Century Brokerage, respondent.

ATTORNEYS:

Claimant, Jack Braumiller, Jr., appeared Pro Se., Salem, SC.

For Respondent, American Century Brokerage, ("Respondent"), Mark H. Nicholas, Esq., of American Century Brokerage, Inc., Mountain, CA.

DATE FILED: May 27, 1999

CASE SUMMARY: Claimant alleged that Respondent failed to carry out his order to sell his shares of American Century Global Gold Fund that was placed on May 17, 1999. Claimant further alleged that due to Respondent negligence he suffered financial loss.

Claim Data

Claim: \$1,421.90

Punitive: \$1,000.00

Filing Fees: \$75.00

Award Data

Award: \$1421.90

Punitive: \$.00

Filing Fees: \$37.50

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 \$1,421.90. 2) All requests for punitive damages are denied. 3) All other relief requests are denied. 4) The \$75.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the Claimant, shall be retained by NASD Regulation, Inc. 5) Respondent is liable and shall pay claimant \$37.50 as reimbursement of one half of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent, American Century Brokerage has paid to NASD Regulation, Inc. the \$150.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Arne Hovdesven, 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.

Arne Hovdesven
Arne Hovdesven

April 3, 2000
Date of award