

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-02546

Jerome Anger and Shirley Venit Anger, claimants vs. Spencer-Winston Securities Corporation and US Clearing, respondents.

ATTORNEYS:

Claimants appeared Pro Se., Brooklyn, NY.

Respondent, Spencer-Winston Securities Corp., appeared through its President, Oscar Echman, New York, NY.

For Respondent, US Clearing, appeared Charles Siegel, Esq., in house counsel for Fleet Securities, Inc.,

DATE FILED: June 3, 1999

CASE SUMMARY: Claimant alleged that respondents failed to execute a purchase order for 5,000 shares of new LTV Corp. stock. Instead, claimant alleged that respondents purchased 5,000 shares of defaulted shares in the old bankrupt LTV.

Claim Data

Claim: \$24,999.00

Award Data

Award: \$.00

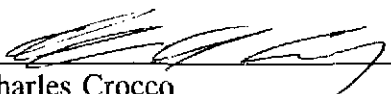
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD Dispute Resolution, Inc. by the claimant, shall be retained by NASD Dispute Resolution, Inc.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent US Clearing has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced. Respondent Spencer-Winston Securities Corp. has not paid to NASD Dispute Resolution Inc. the \$400.00 Member Surcharge previously invoiced.

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AFFIRMATION

I, Charles Crocco, do hereby affirm, pursuant to article 7507 of the Civil Practice law and Rules, that I am the individual described herein, and who executed this instrument which is my award.



Charles Crocco

August 18, 2000
Date of Award