

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

CASE: 99-03108

Sharon B. Osborn, claimant vs. Robert Herman Uzzle, respondent.

ATTORNEYS:

Claimant Sharon B. Osborn ("Claimant"), appeared Pro Se., Grand Rapids, MI.

Respondent, Robert Herman Uzzle, ("Respondent"), appeared Pro Se., Suttons Bay, MI.

DATE FILED: July 7, 1999

CASE SUMMARY: Claimant alleged that Respondent conducted unauthorized trade in her account. Claimant further alleged that Respondent breached his contractual agreement and failed to provide copies of documents requested.

Claim Data

Claim: \$3,500.00

Punitive: Unspecified

Interest 10%

Filing Fees: Unspecified

Award Data

Award: \$1,360.06

Punitive: \$.00

Interest: At 6% per annum from
June 18, 1999 until payment of award.

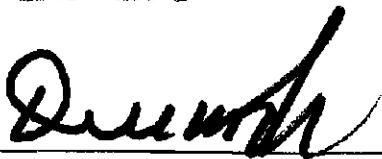
Filing Fees: \$175.00

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 \$1,360.06. 2) Respondent is liable and shall pay to the Claimant interest at 6% per annum from June 18, 1999, until payment of the award. 3) All requests for punitive damages are denied. 4) All other relief requests are denied. 5) 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. 6) Respondent is liable and shall pay Claimant \$175.00 as reimbursement of the filing fee.

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AFFIRMATION

I, David M. Black, 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.

A handwritten signature in black ink, appearing to read 'David M. Black', written over a horizontal line.

David M. Black

June 12, 2000
Date of award