

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-03156

Phil H. Beason, Claimant vs. Scottsdale Securities, Inc., Respondent.

ATTORNEYS:

Claimant, Phil H. Beason, ("Claimant"), appeared Pro Se., San Francisco, CA.

Respondent, Scottsdale Securities, Inc. ("Respondent"), appeared through its Compliance Manager, Mark Finnegan, St. Louis, MO.

DATE FILED: July 12, 1999

CASE SUMMARY: Claimant alleged that Respondent sold 200 shares of Disney (DIS), when he only requested the sale of 100 shares since he only owned 100 shares. Claimant further alleged that Respondent sold his CSCO stock in order to cover the short position that was created in his account by the sales of the DIS shares.

Claim Data

Claim: \$3040.70

Filing Fees: Unspecified

Award Data

Award: \$.00

Filing Fees: \$87.50

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 \$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 half of the filing fee.

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

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Award 99-03156

AFFIRMATION

I, A. Douglas Ruygrok, 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. Douglas Ruygrok

October 18, 2000
Date of award