



NASD Regulation, Inc.

Office of Dispute Resolution

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N.A.S.D. REGULATION AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 99-03385

Barbara Sherwood, claimant vs. Harry Kaplan of ABC Financial Center and Cadaret, Grant & Co., Inc., respondents.

ATTORNEYS:

Claimant Barbara Sherwood ("Claimant"), appeared Pro Se., Delray Beach, Florida.

For Respondents Harry Kaplan and Cadaret, Grant & Co. (collectively, "Respondents"), B.L. Johnson, Senior Vice President of Cadaret Grant & Co., Inc., Mount Arlington, New Jersey.

FILED: 7/26/1999 _____ DATE

CASE SUMMARY: Claimant maintained that on numerous occasions she contacted Respondents requesting that her position in the MFS Emerging Market Equity Fund be transferred to the MFS Emerging Growth Fund. Claimant alleged that Respondents failed to comply with this request and as a result, she incurred financial loss.

July 5, 2000

Claim Data

Award Data

Claim: \$4,129.00

Filing Fees: \$.00

Award: \$4,129.00

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) Respondents are hereby jointly and severally liable and shall pay to the Claimant \$4,129.00. 2) All other relief requests are denied. 3) The \$175.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the Claimant,

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shall be retained by NASD Regulation, Inc.

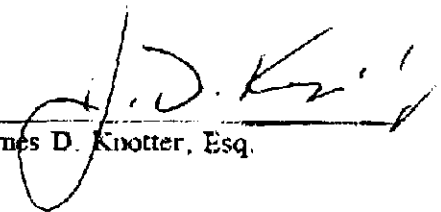
4) Respondents are hereby jointly and severally liable and shall pay Claimant \$175.00 as reimbursement of the filing fee.

OTHER FEES:
Pursuant to Rule 10333 of the Code, Respondent Cadaret, Grant & Co., Inc., has paid to NASD Regulation, Inc. the \$200.00 Member Surcharge previously invoiced.

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Award 99-03385

AFFIRMATION

I, James D. Knotter, Esq., 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 D. Knotter, Esq.

July 5, 2000

Date of award