

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

CASE: 99-04280

Centre De Micro-Informatique Appliquee Du Plateau Inc., claimant vs. Wall Street Access, respondent.

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**ATTORNEYS:**

For Claimant Centre De Micro-Informatique Appliquee Du Plateau Inc. ("Claimant"), Michel Coursol, Montreal, Quebec.

For Respondent Wall Street Access ("Respondent"), Joseph A. Mendola, Vice President and General Counsel for Wall Street Access, New York, NY.

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DATE FILED: 9/17/1999

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CASE SUMMARY: Claimant alleged that a result of a series of accounting lags posted by Respondent to their account, it incurred financial loss. <sup>commission overbillings and</sup> ^

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**Claim Data**

Claim: \$5,683.59  
Filing Fees: \$.00

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**Award Data**

Award: \$3,143.59  
Filing Fees: \$325.00

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**AWARD:** The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) Respondent is hereby liable and shall pay to the Claimant \$3,143.59. 2) All other relief requests are denied. 3) The \$325.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the Claimant, shall be retained by NASD Regulation, Inc. 4) Respondent is liable and shall pay Claimant \$325.00 as reimbursement of the filing fee.

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**OTHER FEES:** Pursuant to Rule 10333 of the Code, Respondent Wall Street Access has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

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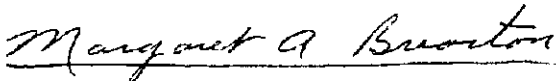
AFFIRMATION

I, Barbara Baciewicz, 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.

  
Barbara Baciewicz

July 21, 2000  
Date of award

Sworn to before me this 30<sup>th</sup> day of  
May, 2000.

  
MARGARET A. BREARTON  
NOTARY PUBLIC - STATE OF New York  
RESIDING IN RENSSELAER COUNTY  
MY COMMISSION EXPIRES 5/13/01