

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-04289

Karl H. Koebke, claimant vs. Spelman & Co., Inc. and Donald H. Colapinto, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Oceanside, CA.

For Respondents appeared Cynthia M. Schleindl, Esq., of the firm Miller Milove & Kob, San Diego, CA.

DATE FILED: September 20, 1999

CASE SUMMARY: Claimant alleged that respondents neglected their fiduciary responsibility to properly inform him of the risks involved with Marvel Entertainment, Inc. bond purchase.

Claim Data

Claim: \$10,250.00
Interest: Unspecified

Award Data

Award: \$.00
Interest: \$.00

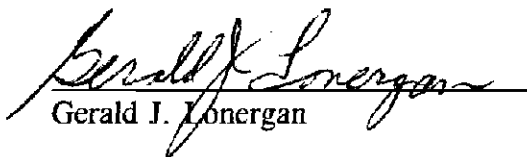
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with NASD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

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Spelman & Co., Inc. has paid to NASD Dispute Resolution, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 99-04289

AFFIRMATION

I, Gerald J. Lonergan, 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.


Gerald J. Lonergan

October 19, 2000
Date of award