

N.A.S.D. REGULATION AWARD

NATIONAL ASSOCIATION OF SECURITIES DEALERS REGULATION, INC.

CASE: 99-04343

Beverly A. Wheeler, claimant vs. Norwest Investment Services, Inc., Dorothy N. Kong Picha and Vance S. Chavez, respondents.

ATTORNEYS:

Claimant appeared Pro Se, Scottsdale, Arizona.

For Respondents appeared Sherri Hallerman Gould, Esq. of the firm Wells Fargo, Minneapolis, Minnesota.

DATE FILED: September 23, 1999

CASE SUMMARY. Claimant alleged that respondents failed to give her 120 shares of SLC Communications Inc. after stock split.

Claim Data

Claim: \$5,788.15
Punitive: \$15,000.00
Filing Fees: \$.00

Award Data

Award: \$.00
Punitive: \$.00
Filing Fees: 425.00

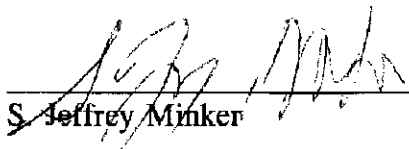
AWARD: The undersigned arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of claimant are dismissed in their entirety. 2) All other relief requests are denied. 3) The \$425.00 filing fee previously deposited with the National Association of Securities Dealers Regulation, Inc. by the claimant, shall be retained by NASD Regulation, Inc. 4) Respondents are jointly and severally liable and shall pay claimant \$425.00 as reimbursement of the filing fee.

OTHER FEES: Pursuant to Rule 10333 of the Code, respondent Norwest Investment Services, Inc. has not paid to NASD Regulation, Inc. the \$400.00 Member Surcharge previously invoiced.

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Award 99-04343

AFFIRMATION

I, S. Jeffrey Minker, 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.



S. Jeffrey Minker

August 18, 2000

Date of award