

NASD DISPUTE RESOLUTION AWARD
NASD DISPUTE RESOLUTION, INC.

CASE: 99-4609

Joseph H. Green, Claimant vs. Fifth Third Securities, Inc., Respondent.

ATTORNEYS:

Claimant, Joseph H. Green, ("Claimant"), appeared Pro Se, Muskegon, MI.

Respondent, Fifth Third Securities, Inc., ("Respondent"), appeared through its Compliance Officer, John L. McDaniel, Cincinnati, OH.

DATE FILED: October 12, 1999.

CASE SUMMARY: Claimant alleged that he bought 9,971 shares of Cardinal GNMA Trust from Respondent on March 9, 1992. Claimant further alleged that he bought another 11,490 shares of Cardinal GNMA Trust on April 17, 1992. Claimant maintained that when Respondent made a payout from the trust shares to him on April 23, 1992, the Respondent did not include the shares bought on April 17, 1992, when calculating the principal and interest due to him. Claimant stated that Respondent's manner of calculating the payout caused him to incur a financial loss.

Claim Data

Claim: \$529.56
Interest: \$19.86
Costs: \$200.00

Award Data

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

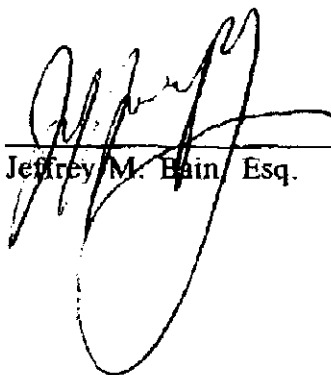
AWARD: The undersigned Arbitrator has decided and determined in full and final resolution of the issues submitted for determination as follows: 1) The claims of Claimant are dismissed in their entirety pursuant to the NASD Code of Arbitration Procedure Rule 10304. 2) All requests for interest are denied. 3) All requests for costs are denied. 4) All other relief requests are denied. 5) The \$50.00 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 has paid to NASD Dispute Resolution, Inc. the \$150.00 Member Surcharge previously invoiced.

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Award 99-04609

AFFIRMATION

I, Jeffrey M. Bain, 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.



Jeffrey M. Bain Esq.

May 9, 2001
Date of award