

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

CASE: 99-04932

Myron R. Richman, CLU, ChFC, claimant vs. Jefferson Pilot Securities Corp., and Jack E. Gregory, CLU, CFP, respondents.

ATTORNEYS:

Claimant Myron R. Richman ("Claimant"), appeared Pro Se., Los Angeles, CA.

For Respondents Jefferson Pilot Securities Corp., and Jack E. Gregory, CLU, CFP ("collectively "Respondents"), Charlene Grant, Esq., Counsel to Jefferson Pilot Securities Corporation.

DATE FILED: 11/02/1999

CASE SUMMARY: Claimant maintained that on March 15, 1996, he sold a John Hancock Medallion Variable Life contract. Claimant further maintained that on May 13, 1999, he terminated his employment with Respondents however, the commissions for this sale was never forwarded to him.

Claim Data

Claim: \$9,000.00
Interest: @ 10% accruing from 6/15/99
to the date the award is paid
Filing Fees: \$325.00

Award Data

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

Filing Fees: \$.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 requests for interest are hereby 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.

OTHER FEES: Pursuant to Rule 10333 of the Code, Respondent Jefferson Pilot Securities Corp. has paid to NASD Regulation, Inc. the \$300.00 Member Surcharge previously invoiced.

Page Two
Award 99-04932

AFFIRMATION

I, Dawn M. Kirchner, CFP, 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.

Dawn M. Kirchner
Dawn M. Kirchner, CFP

May 30, 2000
Date of award