

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Ming K. Louie

Claimant(s)

vs.

Olde Discounte Stockbrokers

Respondent(s)

NOTICE OF ARBITRATION  
AWARD  
87-1105

The Arbitrator, Larry J. Dagenhart, Esq., selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondents, set forth in a submission to arbitration signed by the parties on June 16, 1987 and September 17, 1987, respectively;

And, that having reviewed and considered the proofs of the parties, has decided and determined that in full and final settlement of the above-captioned matter, that the Respondent is liable and will pay to the Claimant the sum of Two Hundred Thirty-Nine Dollars and Sixty-Seven Cents (\$239.67), is the amount at the 6% sales commission on his purchase of Putnam High Income Government trust shares;

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$25.00 filing fees previously deposited with the NASD, Inc. by the Claimant shall be refunded to the Claimant by the Respondent.