

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Nelson A. Goodreau

Claimant(s)

vs.

**MacPeg, Ross, O'Connell &
Goldaber, Inc., et al.**

Respondent(s)

NOTICE OF ARBITRATION

AWARD

87-01721

CASE SUMMARY

Claimant Nelson A. Goodreau alleged that Respondents MacPeg, Ross, O'Connell & Goldaber, Inc. et al. did not sell units pursuant to Claimant's order. Respondents maintain that Claimant instructed Respondent that he did not want to sell at a loss, therefore Respondents did not sell.

RELIEF REQUESTED

Claimant Nelson A. Goodreau requested damages of \$712.00. Respondents requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Prudence W. Baldwin, was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant on September 10, 1987 and by Respondents on March 3, 1988 and May 16, 1988. The Arbitrator, having considered the proofs of the parties, has determined in full and final resolution of the issue submitted for determination as follows:

That the claim of the Claimant shall be and hereby is dismissed in all respects;

The parties shall each bear their respective costs including attorney's fees.

The \$25.00 filing fee previously deposited with the NASD, Inc. by the Claimant will be retained by the NASD, Inc. as costs at this proceeding.

July 19, 1989