

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Mark S. Gilbert and
Wendy C. Gilbert

Claimant(s)

vs.

New England
Discount Brokerage

Respondent(s)

NOTICE OF
ARBITRATION
AWARD
87-02250

CASE SUMMARY

Claimant(s) Mark S. Gilbert and Wendy C. Gilbert alleged that Respondent(s) New England Discount Brokerage did not execute Claimants' trade in a timely manner. Respondent denies Claimants' allegations.

RELIEF REQUESTED

Claimant(s) Mark S. Gilbert and Wendy C. Gilbert requested damages of Three Thousand Seven Hundred Fifty Dollars and No Cents (\$3,750.00). Respondent(s) requested dismissal of claim and costs.

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Scott Sullivan Wallner, Esq., was selected to review and determine the matter in controversy between the parties set forth in submissions to Arbitration signed by the Claimant(s) on February 15, 1988 and by Respondent(s) on September 13, 1988, respectively;

And, that the Arbitrator, having considered the proofs of the Parties, including any additional documentary submissions of the Claimant(s) and the Respondents(s) has decided and determined in full and final resolution of the issue submitted for determination as follows:

That the claim of the Claimants shall be and hereby is dismissed in its entirety.

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

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding.

December 5, 1989