

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert and Pamela Romanko

vs.

Claimant(s)

E.F. Hutton & Co., Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD

88-00046

CASE SUMMARY

Claimant(s) Robert and Pamela Romanko alleged that Respondent(s) E.F. Hutton & Co., Inc. mishandled their IRA account. Respondent(s) denies all allegations.

RELIEF REQUESTED

Claimant(s) Robert and Pamela Romanko requested damages of Three Hundred Eighteen Dollars and No Cents (\$318.00). 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, Andrew Reegen, 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 January 4, 1988 and by Respondent(s) on March 29, 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 Respondent is liable and will pay to the Claimant the sum of Two Hundred Fifty Two Dollars and Fifty Cents (\$252.50).

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

The \$15.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) will be refunded to the Claimant by the Respondent.

August 22, 1989