

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Donna M. Hopley

Claimant(s)

vs.

Merrill Lynch, Pierce,  
Fenner & Smith, Inc.

Respondent(s)

AWARD

88-00116

The Arbitrator, Lucia Edwards, 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 May 11, 1988 and July 11, 1988, 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 Claimant shall recover from the Respondent the total amount of Five Hundred Eighty Five Dollars and No Cents (\$585.00);

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 retained by the NASD as costs for this proceeding.

May 31, 1989