

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

James D. Heffner

Claimant(s)

vs.

Kenneth G. Schave, Jr.
and Hamilton Bohner, Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-00388

CASE SUMMARY

Claimant(s) James D. Heffner alleged that Respondent(s) Kenneth G. Schave, Jr. and Hamilton Bohner, Inc. failed to execute a sell order on a timely basis. Respondent(s) did not submit an answer.

RELIEF REQUESTED

Claimant(s) James D. Heffner requested damages of One Thousand Fifty Dollars and No Cents (\$1,050.00).

AWARD

Pursuant to Section 13 of the NASD, Inc. Code of Arbitration Procedure ("Simplified Arbitration") a single arbitrator, Thomas B. Corey, 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 3, 1988 and not by the Respondent as required by Section 12(a) of the NASD, Inc. Code of Arbitration Procedure, 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:

The Respondents shall be jointly and severally liable to the Claimant for the amount of One Thousand Fifty Dollars and No Cents (\$1,050.00).

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(s) shall be retained by the NASD, Inc. as costs of this proceeding and reimbursed by the Respondent to the Claimant.
October 23, 1989