

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Robert E. Bruflat

Claimant(s)

vs.

Prudential-Bache Securities,
Inc.

Respondent(s)

NOTICE OF ARBITRATION

AWARD

88-00466

CASE SUMMARY

Claimant(s) Robert E. Bruflat alleged that Respondent(s) Prudential-Bache Securities, Inc. mishandled his Individual Retirement Account that was opened through the Respondent. Respondent(s) deny any mishandling of Claimant's account.

RELIEF REQUESTED

Claimant(s) Robert E. Bruflat requested damages of Four Hundred Fifty Dollars and No Cents (\$450.00). 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, Daniel Eugene Bivins, III, 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 12, 1988 and by Respondent(s) on April 25, 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:

The Respondent shall pay the Claimant the total amount of Three Hundred Fifty Dollars and No Cents (\$350.00).

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

July 18, 1989