

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Clifford L. Skinner
and Ruth H. Skinner

Claimant(s)

vs.

Great Western Financial Securities, Inc.,
William Wiener,
and Robert Eisner

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-00467

CASE SUMMARY

Claimant(s) Clifford L. Skinner and Ruth H. Skinner alleged that Respondent(s) Great Western Financial Securities, Inc., William Wiener and Robert Eisner failed to execute a sell order. Respondent(s) maintain that there is no indication of such an order in their records and the registered representative, William Wiener, terminated his employment with the firm on November 5, 1987.

RELIEF REQUESTED

Claimant(s) Clifford L. Skinner and Ruth H. Skinner requested damages of \$953.00. 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, Francis J. Daley, 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 by Respondent(s) on May 11, 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:

Respondents Great Western Financial Securities Inc. and William Wiener are jointly and severally liable and shall pay the sum of Nine Hundred Fifty Three Dollars and No Cents (\$953.00) to the Claimants. The claim against Robert Eisner is hereby dismissed in all respects.

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 reimbursed to the Claimants by the Respondents Great Western Financial Securities Inc. and William Wiener.

July 7, 1989

CHECKLIST

Note: Fill out only those sections which apply to this particular case:

- 1) Find for the Claimant
 - (a) total amount of the award: \$ 953
 - (b) if two or more respondents are liable:
 - (1) joint and severally liable: yes ☒ no ☐
 - (2) if respondents separately liable list party and the amounts: _____
- 2) Case Dismissed _____
- 3) Counterclaim of Respondent
 - (a) total amount of award: \$ _____
 - (b) party to receive award: _____
 - (c) counterclaim dismissed: _____
- 4) Punitive Damages
 - (a) total amount \$ _____
 - (b) name parties against whom damages are to be assessed and in what amounts: _____
- (c) claim dismissed: _____
- 5) NASD Fee
 - (a) assessed against Claimant
 - (b) assessed against Respondent yes
- 6) Use this space to expand or clarify any part of the decision above or to indicate other forms of specific relief.

It does not appear to me that Robert Eisner is a party in this claim of Jeffrey and Ruth Skinner

Affirmation

STATE OF

} SS:
}

COUNTY OF

I, _____, do hereby affirm upon my oath as arbitrator that I am the individual described in, and who executed this instrument, which is my oath and award.

June 17 1980
(DATE)

[Signature]
(SIGNATURE OF ARBITRATOR)