

NATIONAL ASSOCIATION OF SECURITIES DEALERS, INC.

In the Matter of the Arbitration Between

Alan B. Shaw

Claimant

vs.

Case #88-00640

Prudential-Bache Securities, Inc.

Respondent

The undersigned, being the arbitrator selected to review and determine a matter in controversy between the above-mentioned Claimant and Respondent, set forth in a submission to arbitration signed by the Claimant Alan B. Shaw on February 18, 1988 and not signed by the Respondent Prudential-Bache Securities, Inc. as required by Section 12(a) and 13 of the Code of Arbitration Procedure;

And, that the Motion to Consolidate the above-captioned claim with the claim of Mary E. Shaw vs. Prudential-Bache Securities, Inc. (NASD #88-01542) is granted;

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 Respondent Prudential-Bache Securities, Inc. shall be liable and shall pay to the Claimant the sum of Two Thousand Five Hundred and no/100 Dollars (\$2,500.00);

And, that the \$100.00 filing fee previously deposited with the National Association of Securities Dealers, Inc. by the Claimant shall be refunded and is assessed against the Respondent, Prudential-Bache Securities, Inc.

  
Kent N. Mastores