

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Abraham and Etta Goldbaum
TTEES FBO Ruth Goldbaum

Claimant(s)

vs.

Merrill Lynch, Pierce, Fenner
and Smith, Inc., John Magnesio
and Michael Fix

Respondent(s)

AWARD

88-01127

The Arbitrator, Janet Weiss, 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 April 27, 1988, July 18, 1988 and July 19, 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 Respondents Merrill Lynch, Pierce, Fenner and Smith, Inc., and John Magnesio are jointly and severally liable to the Claimant's revocable trust, if still in effect, or to Abraham and Etta Goldbaum, if the trust has been revoked, for the amount of Three Thousand One Hundred Five Dollars and Thirteen Cents (\$3,105.13) plus interest of 10% accruing beginning the 10th day after notification of judgement to Respondents. Any claim against Respondent Michael Fix is hereby dismissed in all respects;

And, that each party shall bear its own cost and expenses including attorney's fees;

And, that the \$100.00 filing fees previously deposited with the NASD, Inc. by the Claimant shall be refunded to the Claimant.

May 31, 1989

STATE OF *New York*
COUNTY OF *New York*

S.S.:

On this day of , 1989, before me personally
appeared DEBORAH SHERMAN me known and known to me to be the individual desc-
ribed in and who executed the foregoing instrument and be duly acknowledged
to me that he executed the same

Jill a Wile

Not
Commission

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