

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

Prudential-Bache
Securities, Inc.

Claimant(s)

vs.

William and Lucille Lawrence

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-01320

The Arbitrator, Albert A. Rapoport, 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 8, 1988, and not by the Respondent as required in Section 12(a) of the NASD, Inc. Code of Arbitration Procedures;

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 the Respondents William and Lucille Lawrence are liable for and shall pay to the Claimant the sum of Six Thousand One Hundred and Twenty Nine Dollars and Thirty-Seven Cents (\$6,129.37) with interest at 12% from September 17, 1987 to the present respectively;

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

And, that the \$200.00 filing fees previously deposited with the NASD, Inc. by the Claimant shall be retained by the NASD, Inc. as costs of this proceeding.