

NATIONAL ASSOCIATION OF SECURITIES DEALERS

In the Matter of the Arbitration Between

George S. Wright

Claimant(s)

vs.

D.K. Thieleke Securities, Inc.

Respondent(s)

NOTICE OF ARBITRATION
AWARD
88-01356

CASE SUMMARY

Claimant(s) George S. Wright alleged that Respondent(s) D.K. Thieleke Securities, Inc. misrepresented material facts as to Claimant's investment with Respondent. Respondent(s) denies Claimant's allegations.

RELIEF REQUESTED

Claimant(s) George S. Wright requested damages of Five Thousand Dollars and No Cents (\$5,000.00). 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, Mark E. Feierstein, 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 July 28, 1989 and by Respondent(s) on September 1, 1989. 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 claim against the Respondent shall be dismissed in its entirety.

The parties shall each bear their respective costs including attorney's fees.

The \$100.00 filing fee previously deposited with the NASD, Inc. by the Claimant(s) shall be retained by the NASD as costs of this proceeding and reimbursed by the Respondent to the Claimant.

September 25, 1989